

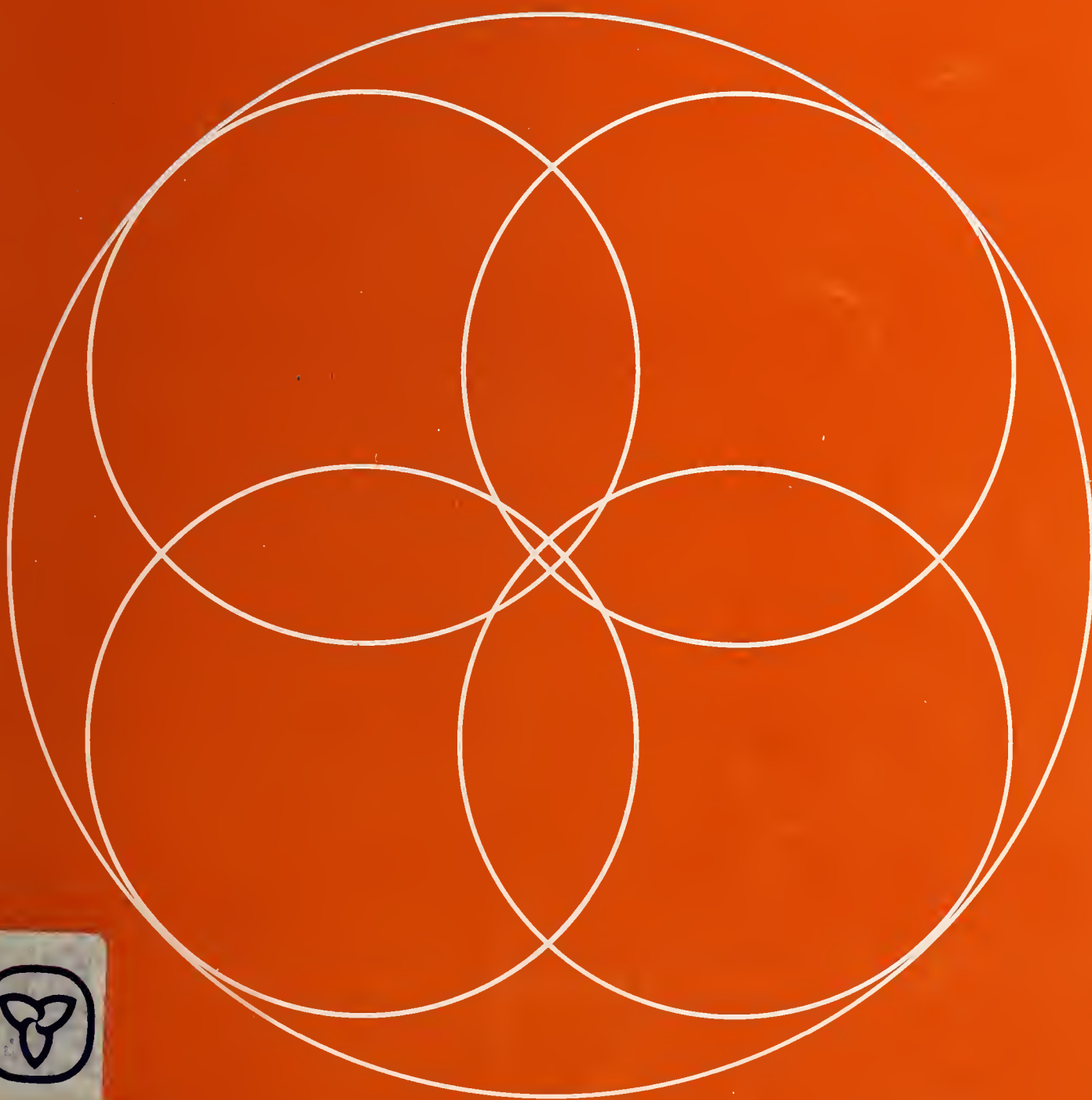
Local Government  
Management Project

Series A Publications  
Documentation and Evaluation

# The LGMP Experience Phase II:

The Implementation of Organizational  
Change in Local Government

*V.N. MacDonald*  
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**The LGMP  
Experience  
Phase II:**

**The Implementation of Organizational  
Change in Local Government**

*V.N. MacDonald  
P.J. Lawton*

May 1978

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The Ministry of Treasury, Economics and Inter-  
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The Cities of London, Ottawa, and St. Catharines and  
The Regional Municipality of Niagara

The School of Business, Queen's University at Kingston







Preface

The Local Government Management Project (LGMP), was a four year experiment designed to test various methods of management improvement in Ontario municipalities. It was jointly sponsored by the Province of Ontario and four Ontario municipalities – the Cities of London, Ottawa and St. Catharines, and the Regional Municipality of Niagara. The Project was designed, implemented, documented and evaluated by a Project Team from Queen’s University.

A major aspect of the Project Team’s work involved the documentation and analysis of the events which occurred during the Project design and implementation. Three volumes of documentary information have been produced, each dealing with a particular phase of the Project.

Phase I documentation covered the formative stage of the Project and was mainly involved with a discussion of the problems of integrating the interests of a number of municipalities, and an outline of the prerequisite conditions necessary in a municipality if a successful management improvement program is to be launched.

This paper, Phase II documentation, is largely a discussion of the implementation of the Project within the municipal administration. It includes an analysis of the special management characteristics of local government and a brief discussion of the characteristics of management change which seemed to be confirmed by the events which occurred during the LGMP.

Phase III documentation contains an overview of the entire Project, concentrating particularly on the final stages where municipal councils were involved and an attempt was made to develop an ongoing capacity for adaptive changes within local government.

All three of the documentaries contain a section dealing with the potential implications of the LGMP experience for other municipalities. Supplementing the documentation is a paper which provides a pragmatic review of techniques used during the Project and four papers which concentrate upon particular aspects of management in local government.

The experiences described in this paper, in particular, were dependent upon the efforts of a large number of people. The Project Leaders in the four Project Municipalities played a crucial role, as did the Queen’s Project Directors and Trainers. They are all specifically recognized below. Faye Gallery and Nancy Peverley managed the Project office and patiently typed numerous drafts of this paper.

Without the financial aid and the ongoing support of the Advisory Services Branch of the Ministry of Treasury, Economics and Intergovernmental Affairs, the Project would not have been possible. The authors would like, particularly, to thank Ted Gomme for helping to initiate the Project, and Bryan Isaac for his ongoing support and his contributions to the implementation. Bonnie Brown contributed directly to this paper through her suggestions and long suffering support during the gestation period.

If local government councillors and administrators find this paper useful, the efforts of all of the people involved will have been worthwhile. Some of the content could be interpreted as being highly critical of the efforts of local government councillors, in particular, and of local government administrators to a lesser extent. In a management sense that may be true, and the Project Staff feel that those conclusions are justified. On the other hand, the tremendous public contribution of most councillors is appreciated and the effective management efforts of many fine administrators is recognized.

**Project Principals**  
J.R. Nininger (to April 1976)  
V.N. MacDonald

Project Leaders	Project Team Members
Gene Deszca <i>St. Catharines</i>	Tony Tersigni
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# Introduction

This is the second in a three stage series of documentaries which relate and analyze the experiences of the Local Government Management Project (LGMP).

Although it is primarily intended as an analysis of events during the implementation stage of the LGMP, this paper also deals with the potential applications of the Project experience to other municipalities and addresses some controversial but fundamental questions regarding local government. These questions include the following.

- 1 Is there a clear understanding of the purpose of local government and the roles of its component parts?
- 2 What does the 'management' of local government mean and what does it encompass?
- 3 Are there fundamental differences in management requirements between large and small municipalities?
- 4 What are the respective roles of council and administration in local government?
- 5 What factors are involved in management improvement in local government?

Until these questions were at least considered by the Project Team and some, admittedly tentative answers generated, the analysis of the results of this Project proved to be difficult is not impossible. Thus in the first part of the analysis portion of this paper some LGMP observations in these areas are discussed.

Basically each of the three LGMP documentaries has a distinct focus and consists of three parts:

- 1 a description of events;
- 2 an analysis of those events; and
- 3 a discussion of the implications of the Project experiences for other municipalities.

Phase I documentation of the LGMP experience focused upon the formative stages of the Project, upon the prerequisites for effective management improvement, and upon the preparation for a major change project on the part of municipalities. This Phase II paper focuses upon the implementation stage of the Project and the factors involved in management improvement in local government. Phase III will focus upon the final stages of the Project and will present an overview of the experiences during this four and one-half year experiment.

Auxilliary papers to the three documentaries include *The LGMP Experience: Guidelines for Organizational Change in Local Government* and *Developments in the Management of Local Government: A Review and Annotated Bibliography*. The *Guidelines* book discusses some of the Project techniques in detail and is really

a 'micro' focus upon organizational change in local government. The *Developments* book was written early in the Project and it includes an outline of various approaches which have been taken to management improvement in local government.

This documentation series is directed primarily toward municipal councillors and administrators, but should also be relevant for schools of local government, consultants and municipal trainers. Its prime purpose is to describe and analyze the major events of the Project, so other municipalities can use the knowledge that has been generated. The events are analyzed, primarily from the perspective of the Queen's Project Team, but with some input from the Project Municipalities. The potential applications of the outcomes to other municipalities are emphasized in the last part of each documentary.

In this Phase II documentation the actual processes of management improvement are given prime emphasis. Each part of this paper is designed to answer a specific set of questions. These questions will be identified in the short overview of the content which follows.

## PART I A DESCRIPTION OF EVENTS — OCTOBER, 1974 TO APRIL, 1976

The implementation stage of the LGMP began after the Province, the university and the four participating municipalities had approved the contract. Various factors influenced the speed and nature of implementation in the four municipalities. In this section an attempt is made to describe the events that occurred but, to an extent at least, these events cannot be discussed in isolation from the apparent rationale for their occurrence. Any discussion which involves the apparent rationale for events described is necessarily somewhat subjective. An attempt has been made to counter that bias; however, it is recognized that other people might interpret the LGMP events in quite different ways.

In the description of events there is an attempt to answer these questions:

- 1 What was the Project Team, working with the Project Leader and managers in each of the municipalities, attempting to accomplish?
- 2 What actually happened within the municipalities in reaction to the Project Team and Project Leader's initiatives?
- 3 What difficulties were encountered, what successes were achieved and where was failure apparent?

## PART II AN ANALYSIS OF EVENTS

The initial sections of the analysis outline some general conclusions about local government management that

resulted from the LGMP experience. It also contains some thoughts about the nature of management change as it affects the individual. In the remainder of the analysis the general conclusions about both local government management and organizational change are used to help to answer these questions:

- 1 Why did the events described in Part I occur?
- 2 Were the changes which occurred those which might have been expected at the outset and, if not, why not?
- 3 Can any general conclusions be drawn from what happened in the four municipalities?
- 4 Can any conclusions be drawn with respect to the influence of structures, processes or personalities upon management improvement?
- 5 Do the Project experiences suggest anything which should be considered by all local governments as potential problem areas or as areas requiring improvement?
- 6 What would we suggest as recommended action for municipalities wishing to introduce an ongoing process of adaptation and management improvement in response to changing requests for service?

### **PART III IMPLICATIONS FOR OTHER MUNICIPALITIES**

Every municipality is distinct and the requirements for management improvement and the probable results of an attempted change in management operations will be different in each one. Nevertheless, certain of the things learned during the LGMP are general enough to be applied to most municipal operations. Others apply only to those organizations which are similar in size, structure and environment to one or more of the Project Municipalities.

The Project Municipalities were larger than most Canadian municipalities and they all faced problems which had been created by recent population increases. On the other hand, many of their current difficulties stemmed from mistakes made in the past when their operations were less complex. Some problems, such as those involving confusion in regard to the purpose and role of local government and the respective roles of council and administration, are common to all municipalities. The difficulties faced by regional governments and by all municipalities located in or near a metropolitan area are inter-related, and the solutions can only come about through co-ordination and effective joint decision making.

In making recommendations for other municipalities, an attempt has been made to use the frameworks from Part II to relate the LGMP experiment to the wider local government context in answering the following questions:

- 1 What did we learn from the LGMP experience which has relevance for other municipalities?
- 2 Can we suggest anything to councillors, administrators, consultants, or academics which will enable them to play more effective roles in improving local government?
- 3 Can we add anything to the theory of local government operation, to organizational theory or to the theory and practice of management improvement?



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# Part I



## A Description of Events (October 1974 - April 1976)

This discussion of the initial implementation stages of the LGMP, includes a description of orientation briefings and initial workshops and extends to the time in the Project when it had initially been expected that goals and objectives would be developed at all administrative levels. At first, what could be described as a period of general implementation took place, and an attempt was made to introduce similar processes and procedures in all four of the Project municipalities. Following that initial stage, the Project developed in a unique way in each of the participating municipalities.

As outlined previously, in the *Project Overview Statement* and in Phase I documentation,<sup>1</sup> the LGMP had specific objectives and an initial plan to promote improvements in organizational effectiveness. This plan was followed for approximately the first year in all of the municipalities although, even in that period, significant inter-municipal differences appeared. By June, 1975, it was apparent that a distinct project had evolved in each municipality.

To effectively describe the various aspects of the LGMP, this description of Project implementation contains five sections:

- 1 a section describing the general approach to the initial implementation of the Project, which influenced the early events in all four municipalities; and
- 2 four sections, each describing events in one of the four Project Municipalities.

### THE GENERAL APPROACH TO IMPLEMENTATION

The initial implementation stage was similar for all municipalities. It included an information gathering stage, an orientation stage and initial goal and objective setting workshops. Each of these will be discussed separately.

#### Information Gathering Stage

Through the period of Project approval, fully described in Phase I documentation, the Queen's Team had maintained communication with those municipalities most likely to become part of the Project and with the Advisory Services Branch of the Ministry. Following Project approval, when the Queen's Team was finally assured of financing, there was a good deal of preliminary work to be done prior to implementation. This included:

- 1 the development of detailed knowledge of each of the municipalities in terms of the management processes and procedures in use, the allocation of responsibility to various departments and administrators, the existent modes of problem identification and

decision-making and an understanding of the current information and communication systems. This type of information was considered necessary for three reasons:

- a to establish a base of information and knowledge about the management of each municipality against which changes during the course of the Project could be measured;
  - b to provide the Project Team with information regarding the state of management sophistication in various areas, so appropriate approaches to management improvement could be suggested; and
  - c to enable the Project Team to analyze sources of managerial information at the outset of the Project so an understanding of the bases of management decision-making was possible;
- 2 some detailed work with influential managers in each municipality to identify major problem areas in management so an agreement could be reached on an appropriate approach to the introduction of organizational change in that particular municipality;
  - 3 training, both of the members of the Queen's Team and the Project Leaders, for their facilitative roles; and
  - 4 the development and administration of the major evaluation instrument, the Individual Employee Questionnaire, to obtain base information on attitudes prior to the initiation of the implementation process.

#### Orientation Stage

At the outset of the LGMP the Project Directors believed, as they still do, that managers about to begin any program involving a major effort to improve management should be given the widest possible perspective on the various approaches which have been attempted in the past. Major changes in management take place slowly, and influential managers must understand and support both the rationale behind the process and the extended time frame, or their support and, subsequently, the support of the junior managers they influence will quickly lag. Councillors were not generally involved in orientation briefings since it was felt that administrators would not feel as free to ask questions and express their reservations with councillors present. In one municipality, Regional Niagara, four councillors were involved and they displayed obvious interest in the Project and continued support, probably acting to stimulate involvement by some administrators who

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1 Appendix 1 contains a brief description and outlines the development of the LGMP during the formative stages.



otherwise would have resisted the process from the outset.

The LGMP was designed to incorporate aspects of a number of previous approaches to management improvement and it was deemed important that the managers involved be familiar with these various approaches.<sup>2</sup> It was hoped that with this knowledge, as the Project evolved and managers recognized previously unidentified needs for management change or improvement, the most appropriate techniques could be incorporated. By incorporating and inter-relating all management improvement programs under one mantle the tendency to leap from one program to another, without giving any of them an adequate test, (a practice common in both private and public organizations) could hopefully be avoided.

To provide the necessary education, discussion, feedback and processes of mutual planning, the LGMP orientation workshops involved the two highest levels of administration and included a general briefing and discussion of the various potential approaches to organizational change in local government. These initial briefings included examples of various organizations which had attempted each approach.<sup>3</sup> In addition, the orientation workshops included a case example, based upon an ongoing change program in the City of Fort Worth, Texas. The Fort Worth experiment was the most suitable example available of the use of goals and objectives in a municipal setting, and provided a good basis for discussion. It soon became apparent, however, that administrators were not accustomed to the use of case exercises and often were not very interested in developments in other cities, particularly if those cities were not Canadian. Cases, to be useful, had to be seen as highly relevant to the technique which was to be introduced, unless, of course, they were used in a general educational setting where they would not be confused with the technique being implemented.

Finally, the orientation workshops encouraged a discussion of management problems within the relevant municipality. After a discussion of local problem areas the Project Team was able to suggest what they felt would be an appropriate approach to organizational change for that municipality. This approach was discussed with the chief administrative officer (where applicable), with all department heads, and in some cases with the next lowest administrative level, until the Project Team felt that those administrators, considered crucial to the initiation of the Project, were reasonably convinced that the program could be effective in promoting positive changes in operation. It later became

evident, however, that many reservations about the program had not been expressed at these initial briefings. When such reservations were not made known, so the program could be further discussed and modified if necessary, managers holding the reservations had limited commitment to the Project. A discussion of the reasons why administrators questioned the usefulness of the Project, an explanation of why they hesitated to discuss their reservations more freely, and some conclusions regarding the very significant consequences of this major problem area in implementation, are discussed in Part II of this paper.

#### Initial Goals and Objectives Workshops<sup>4</sup>

Initial goal and objective setting workshops took a similar format in all of the municipalities, although there was some variation in the management levels of the administrators who attended the initial training sessions in the different municipalities. (As already mentioned, four councillors attended in the Regional Municipality of Niagara.) From the Project Directors' viewpoint it was important that all administrators with prime responsibility for relatively independent programs should attend. Where these administrators had assistants, deputies or branch heads who had significant, clearly defined and reasonably distinct management responsibilities, in support service areas in particular, it was concluded they too could add considerably to the development of a co-ordinated and inter-related set of goals and broad objectives at the top administrative level. More detail on the positions of administrators who attended the initial LGMP workshops is contained in the description of events in each municipality.

Top managers from all departments and the city administrator, where applicable, attended the same initial workshop in an attempt to encourage interaction between departments in the determination of goals. Municipal departments traditionally have operated in a relatively independent manner, generally at some cost in terms of the duplication of functions and equipment. This independence has led to difficulty in defining and establishing support services and to a general inability to deal with problems which do not fall neatly within the area of responsibility of one particular department.

In LGMP workshops, department heads assisted each other in determining goals and broad objectives for their respective departments, and inter-departmental communication and understanding were facilitated to some extent. A number of administrators from various departments would work with a particular department head to establish goals for his department. Not only were they obtaining practice in setting management goals through this technique, but they were also able to develop a broader perspective on the management requirements and responsibilities in other departments, and to obtain some idea of the impact of different technologies upon methods of management.

The LGMP staff recommended that department heads work with those administrators reporting directly to them to further develop departmental goals between the first and second goal and objective setting workshops. Where this process was accepted, branch or division heads, as the case might be, had some input into the

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2 A lengthy discussion of this aspect has been included in the introductory section of Part III of this paper.

3 The format used for this presentation was called *The Circle Diagram* and the various approaches to organizational development are discussed in greater detail in two other LGMP publications: *Developments in the Management of Local Government: A Review and Annotated Bibliography* and *The LGMP Experience: Guidelines for Organizational Change in Local Government*.

4 Goals can be defined as general statements which describe the key management functions which need to be performed by a particular manager or management level. Objectives are specific statements of what is to be accomplished in measureable terms.



determination of goals for their departments and received some initiation into the process of goal and objective setting from their department heads. In many cases, however, department heads felt rather insecure with the new concepts and preferred to have the Project Team and the Project Leaders carry out all training of their staff. When department heads were willing to involve and work with their staff, almost from the outset, significant motivational and managerial pay-offs seemed to result. This was a perception which was not measured in any definitive way, except through the individual employee questionnaire.

In three of the four municipalities, two one and one-half day workshops were held to provide the top level administrators with a solid background in goal and objective setting. In the fourth municipality, three one and one-half day goal and objectives workshops were held for the top three levels of management at the outset. This latter case involved three different sets of workshop participants, with department and branch heads attending the first one, and division heads attending the remaining two. A follow-up workshop for department heads and branch heads took place within three months. In spite of the seeming simplicity of the concept of goals and objectives, managers, including members of the Project Team and Project Leaders, found them difficult to establish and use meaningfully. A good deal of both practice and thought was required to perfect the technique and adjust it to support the managerial approaches of individual managers. It quickly became apparent that different managers used goals and objectives in different ways.

Typically, departmental goals included both those which specifically emphasized the provision of direct or support services (the primary purpose of the department) and those which involved the development of the means necessary to provide those services, e.g. the development of human resources and co-operation with other managers. Some typical goal statements for a variety of departments are included in Appendix II.

In the three municipalities which had the two initial workshops for senior managers, workshops for the next level, division heads, followed the senior management workshops by three months or less. In all four municipalities, members of the Project Team and Project Leaders worked with top administrators and usually with administrative teams to establish goals and objectives for each management level. Generally, department or division heads would work with a team of immediate subordinates to set goals and objectives for the department or division respectively. Sometimes the subordinates were asked to establish the goals and objectives. Then the senior managers would work with the team to review, revise and refine until the objectives satisfied the department head. In several cases, where senior managers did not seize the initiative, managers at branch or division levels worked as a team and determined preliminary goals and objectives for discussion with the senior manager. Project Leaders and/or the Queen's Project Team made themselves available to work with these teams and were particularly helpful in cases where junior managers had taken the initiative. Generally three or more meetings were necessary with each team before an acceptable set of objectives emerged.

The next four sections describe the process of implementation in each of the four Project Municipalities, in the sequence in which implementation was initiated.

## **IMPLEMENTATION IN ST. CATHARINES**

The Project which evolved in St. Catharines was certainly the one which came closest to meeting the overall goals and objectives of the LGMP. By April, 1976, the Senior Management Team was working effectively toward the accomplishment of several broad administrative objectives. Department heads, in reports to Council, had begun to lay the framework for a joint Council/Administration workshop intended to discuss corporate and administrative issues, where a need for clearer policies was perceived.

### **Support From the Mayor and City Administrator**

The Mayor and City Administrator supplied consistent support for the Project from the outset. Both recognized the need for inter-departmental co-operation and optimum administrative/Council co-operation in the identification and resolution of City problems. There was a general feeling, within both Council and administration, that the City had suffered as a result of regionalization in 1971. Managers saw a need to develop clear City goals and objectives and to use them to influence Provincial and Regional decisions to give the City more voice in changes which affected its political, social and physical development in the future.

The Mayor was greatly concerned with the attainment of improved decision-making capabilities at the elected level and saw the need for better defined roles for councillors. He felt that Council presently was not able to play an effective executive policy-making role and that clarification of administrative versus elected input to decisions should be a very high priority. Generally, he viewed his top administrators as high quality advisors and valued their input to both political and service related decisions by Council. He also, however, was concerned that the Council should have the capability to interpret public opinion and public needs and to anticipate and plan for the future so it could provide the requisite political guidance to the municipality.

### **Development of a Senior Administrative Team**

The City Administrator was primarily concerned with the development of an administrative team that could consider all major City issues in a broader context and which could make recommendations to Council based on the wide experience and considered opinion of all City department heads. He was thoroughly in favour of the LGMP plan to aid administration in developing teams at each administrative level and to encourage inter-departmental co-operation in the improvement and development of support services. Having been a councillor previously, he was able to understand the councillor's perspective and had a good idea of the type of administrative aid needed by council.

### **Initial Stages**

The Project Leader obtained departmental co-operation in the establishment of an information base for the City's operations. A Basic Organizational Questionnaire (BOQ) was used as a guide for the obtaining of that information, which included details of municipal rules, agreements, processes, procedures, structures and in-



formation used by administration. The Individual Employee Questionnaire (IEQ) was administered to all employees in October, 1974.

### The Orientation Workshop

The orientation workshop for the St. Catharines Senior Management Team (the City Administrator and department heads) took place on October 31st and November 1st, 1974. At that meeting the new City Administrator made it plain that he, personally, was in full agreement with the basic aims of the LGMP, particularly in regard to the development of teamwork at each administrative level and that he would have chosen that route with or without the LGMP. He emphasized the need to designate administrative time to the process and for personal involvement and commitment on the part of all department heads, indicating that if there were serious unresolved reservations regarding the LGMP the City would not proceed with the Project.

Most of the department heads stated their reservations, as requested, during the orientation seminar and also later in the introductory goal and objective workshops. Some of them questioned the ability of the LGMP to provide assistance to management in St. Catharines and they made their doubts known.<sup>5</sup>

The debates regarding the desirability of the Project and the most appropriate form for it to take in St. Catharines were probably the most spirited of any of those that took place during LGMP workshops. It seemed that the department heads achieved three major milestones during those discussions.

- 1 By bringing out all or most of their reservations about the LGMP and by becoming personally involved in planning its course, they developed a clearer understanding of and commitment to the Project than was developed in any other municipality.
- 2 By finding that they could openly disagree with the new City Administrator in a public meeting and that he would accept their opinions if their arguments were strong enough, they developed trust in both the City Administrator, in other members of the Senior Management Team, and to a degree at least, in the Project Director. It was not easy for the City Administrator to permit continued argument and debate upon points which he frequently considered to be unimportant and which challenged his own viewpoint. The Project Director was able to intervene to prevent premature closure by the City Administrator, in such instances, and helped him to gradually increase his ability to accept other viewpoints and see situations from the perspective of more of his managers.

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5 One or two of the managers may have regarded the Project as a threat from the viewpoint that it might reveal management inadequacy. Reservations of this type are never openly stated, of course, but if the perceived threat is not removed by assurances of the CAO and the internal and external facilitators, such managers will combat the change processes through subtle innuendos and pseudo co-operation. While it appeared to the Project Director that such reservations did exist to a minor degree and probably had a major impact upon the efforts of one or two department heads, the progress of the Project was not seriously deterred as a result.

- 3 As a result of the early involvement in decisions and the degree of trust developed, St. Catharines' administrators put their efforts behind the LGMP and did not become involved in internal political one-upmanship. Thus the comments of all the administrators could be taken at face value, a situation which did not prevail to the same extent in the other Project Municipalities, although many individual managers in the other three municipalities were also frank and open.

### Development of Openness and Trust

The development of openness and trust was slow. It did not occur entirely in the first two or three meetings and required courage and involvement on the part of both the City Administrator and the department heads. The mutual commitment to develop an effective Senior Management Team helped. As the Team developed over the first year of the LGMP it took on a new significance for the department heads. It became a place where they could try out their ideas and where they could obtain suggestions and support from other top administrators. If problems existed between departments or if issues arose where the solutions required inputs from several department heads, they could be discussed and resolved by the Senior Management Team. It took time to develop the normative behaviour of bringing issues to the Team and some managers were very hesitant for a long period of time. During that period the Team was far from an effective decision-making body but it gradually developed in parallel with the development of mutual trust.

### Goals and Objectives Workshops

The initial goals and objectives workshop for the Senior Management Team took place in late January, 1975. In addition to the goal and objective training, a good deal of discussion took place regarding the role and operation of the Senior Management Team. It was almost a year and a half later that questions raised in that session regarding the role and purpose of the Team were finally resolved, and by that time, the Team had evolved and developed to the extent that it was performing a primary corporate management function. Role definition by then was largely a case of understanding and describing what was already happening, but the conscious consideration of the role of the Team still helped to further develop and improve managerial interaction.

At the second goals and objectives workshop in March, 1975, departmental goals, which had been determined following the first workshop, were presented to the Team and were critiqued by other department heads. Discussions regarding mutual support roles ensued and some objectives were formulated in support areas during subsequent meetings. Really effective communication was rapidly developing at the top management level and support departments were involved and active from the outset, more so than they were in any other Project Municipality.

### Loss and Replacement of the Project Leader

Following the second Senior Management Team training workshop the original St. Catharines Project Leader took a job with the Saskatchewan Government. His replacement was not obtained for almost three months and the natural progression of the Project training to



other administrative levels was delayed to some extent. Even in this municipality, where department heads were generally favourable toward the Project, continual impetus, pressure and support from some internal manager with that specific role, was needed to maintain momentum. The City Administrator supported the Team concept and the Queen's Team provided broad direction and helped to motivate managers, but a knowledgeable internal advisor was needed to help to identify the important issues that troubled each administrator and to understand the internal constraints that sometimes limited desirable action on the part of each person.

The new Project Leader was hired in the dual capacity of Project Leader and Training and Development Officer in the Personnel Department.<sup>6</sup> Fortunately, he was adaptable, energetic and eager to provide a service in both capacities. He learned the fundamentals of the LGMP rapidly and was accepted and trusted by most of the top administrators in a remarkably short time.

During the search for a new Project Leader, the Queen's Team held three one day goals and objectives workshops for division heads and supervisors. Participating administrators were drawn from a variety of departments for each workshop, in an attempt to improve inter-departmental understanding and communication.

These workshops were effective in creating an awareness of the purpose and aims of the LGMP and of the goal and objective setting process. To consolidate the knowledge gained by the participants, however, follow-up workshops within the departments, involving two levels of management in goal and objective determination, were required to develop the work team approach and to help managers to set goals and objectives for their own jobs. This follow-up was largely delayed until the new Project Leader had been hired and had consolidated his own knowledge of the situation. Therefore, some of the impetus was lost at lower managerial levels.

### Goal and Objective Setting in Departments

At this point in the Project, in the two most advanced municipalities, it was becoming apparent that goal and objective setting was not as easy as it seemed and that managers needed a great deal of help, support and confirmation that their efforts were worthwhile. Fortunately, division heads in the Parks and Recreation Department and the Planning Department in St. Catharines displayed a good deal of initiative in developing goals and objectives at the division level, following the general workshops. Particularly in Parks and Recreation, superintendents and program supervisors were involved in the determination of divisional objectives at an early stage of the Project. The Director of the department had set the stage by working with his division heads from the outset. They saw the motivational advantages of their own involvement in goal and objective determination and passed these on to their subordinates.

Once the new Project Leader had established his credibility, goal and objective setting proceeded rapidly in all departments except Engineering. In particular, he was able to exploit the initiatives which had been displayed in the Parks and Recreation and Planning Departments

and, for a time, scheduled weekly meetings with division heads in both departments.

At the outset of the Project, the Engineering Department was short several senior staff members. As he obtained the needed staff, the Department Head decided that he should make major revisions in the structure of the department. Department administrators received goal and objective training during the early seminars but definitive goal and objective setting and the development of management teams did not take place until after new staff had been obtained and a reorganization had been completed in the late spring of 1976. In the meantime, the Department Head had developed goals and objectives for the department and proceeded to use those goals and objectives for management at his own level. He also contributed greatly to Senior Management Team discussions with frank, corporate management oriented ideas, which frequently brought a different perspective to issues being discussed.

### Senior Management Team

The major difference between St. Catharines and other Project Municipalities lay in the early development of an effective Senior Management Team which began to deal with both broad administrative and wider corporate problems. Special Senior Management Team meetings aimed at management improvement were held almost on a monthly basis with a Project Director in attendance. At those meetings, management development and improvement was the primary focus, and reservations regarding the Project were voiced and discussed. This free communication enabled the Project Director to explain the rationale for certain aspects of the Project and also to adapt and make adjustments in training approaches when that proved to be advisable.

### Management Overload

Early in the Project, several senior administrators had complained of a heavy management workload. They felt that activities such as those concerned with the LGMP and the Senior Management Team, although very worthwhile, detracted from the time they needed to manage within their departments. The Queen's Project Team developed a short paper dealing with the topic of management overload and one of the department heads offered to discuss his managerial behaviour and overload problems, to serve as a basis for further discussion of the topic by the Senior Management Team.<sup>7</sup> This discussion proved very useful in revealing a certain amount of role confusion on the part of most top managers and additional requirements for delegation. Other department heads were able to recognize problem areas that they also were experiencing and solutions were discussed in some detail.

### Information System

The Senior Management Team also looked closely at

6 The new Project Director, Gene Deszca, was a University of Western Ontario MBA who had taught Organizational Behaviour at St. Francis Xavier University for two years.

7 This edited paper and several others developed by the LGMP staff are included in the LGMP publication *The LGMP Experience: Guidelines for Organizational Change in Local Government*, available as indicated on the order form at the back of this publication.



the effectiveness of the municipality's information system. Once again, the Project Team provided a short paper dealing with various aspects of management information systems, attempting to identify various alternatives for minor and major improvement projects which might be initiated to improve the use and handling of information. Some work was completed on a records-retention system and a computer users committee was established, but major revisions in the management information system were not attempted during this phase of the Project.

### Role of the Senior Management Team

In several Senior Management Team meetings, some time was spent discussing the role of the Team and its relationship to the City Administrator. The Project Director and Project Leader attempted to aid in the process of role clarification for the Team by outlining a set of Team goals and objectives. There was some disagreement within the Team on its role in the management of the municipality and a relatively high degree of consensus was not reached until very late in the Project.

One thing did become obvious, however. It was those department heads who were concerned with the direct delivery of services to the public who were most concerned with the success of the Senior Management Team. They had to meet requests for new services from the public which frequently fell only partially within their zone of responsibility. Therefore, co-ordination with other department heads was necessary. In addition, of course, the Senior Management Team provided a forum whereby the service oriented managers could discuss joint requirements for support services both from other service departments<sup>8</sup> and from support departments.

Administrators concerned primarily with supplying professional advice to council and administration, such as the legal department, were less apt to see any benefit from the Senior Management Team. Professionals were also less likely to regard themselves as corporate managers, in a more general sense, and seemed to feel that they had little to contribute to the general discussions which ensued in regard to planning and development of the City in the future. In fact, these professionals contributed greatly to corporate management discussions, but they apparently felt that their more appropriate role fell in the arena of professional advice in their own areas of expertise.

### Involvement of Council

The Senior Management Team, with the support and consensus of the Mayor, agreed upon a method of involving Council in the determination of policies in issue areas where the desires of Council were unclear. Department heads presented the goals and broad objectives of their departments to Council, essentially asking two questions at the termination of the presentation.

- 1 Here is what we are doing in my department — is this what you feel we should be doing? and

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<sup>8</sup> Most large departments primarily engaged in service delivery to the public are also engaged in the supplying of support services to other departments. For example, most Engineering Departments provide building maintenance and equipment maintenance services.

- 2 Here are some areas in which we are uncertain what is required — can you provide us with some guidelines?

Once these presentations had been completed (one per Council meeting during the spring of 1976) the issues raised in question 2, above, were discussed in a joint Council/Administration workshop. The details of this workshop, held in October, 1976, will be covered in Phase III documentation.

### A Unique Approach by the Fire Department

Work with most of the City departments was relatively routine with primary attention focussed on problem identification and the development of problem solving objectives. In the Fire Department, however, the primary problem was defined as being a degree of uncertainty regarding the current status of operations. The professionals within the department felt that they were unable to deliver equally effective service to all areas of the City and that updating of equipment, increases in regular versus volunteer staff and more fire stations were needed to overcome those problems.

Instead of proceeding to set goals and objectives for what the firemen felt was an inadequate mode of operation, the Fire staff decided upon a mutual effort to establish data regarding their current state of operation. This data included details regarding water mains, water pressures, population density and characteristics of buildings in areas of the City which had not been adequately mapped in this respect. Response times were recorded and comparative tables established for the various areas. Comparative data were also accumulated with respect to injuries, deaths, damage and problems encountered both in regard to fire prevention and in combatting fires.

Prior to undertaking the above project the Fire Chief, his deputy, his training officer, and the platoon chiefs met with the City Administrator who assured them that he would support requests to Council for updating of equipment, plant, and staff, if their statistics proved that they had a reasonable argument. By April, 1976 the study had been completed, recommendations had been approved by Council and the St. Catharines Fire Service was undergoing extensive changes. Thus, by developing their own approach to management improvement with the help of the Project Leader and the Queen's Team, the Fire Department has achieved some initial objectives.

### Development of Corporate Management Process

Probably the most important aspect of the Project in St. Catharines was the development of a corporate management process involving all the department heads. As new issues arose which required consideration by Council, or action by administration, the administrator identifying the issue would bring it to the attention of the Senior Management Team. In the Senior Management Team forum, various action alternatives were discussed and the item was referred to Council with the corporate advisory perspective of the Team.

Lower management levels were gradually developing the same communication processes, although the required openness was slower in developing. In fact, in spite of the efforts of the Project Leader and Project



Team to promote teamwork at all levels, division heads developed a feeling of isolation from their department heads, largely as a result of the extremely compact and cohesive Senior Management Team. Fortunately, this feeling was identified by the Project Leader in management training workshops and the department heads were made aware of the developing problem so they would take action to re-establish communication lines within their departments.

Overall, the Project in St. Catharines was alive and healthy by April, 1976.

## IMPLEMENTATION IN THE REGIONAL MUNICIPALITY OF NIAGARA<sup>9</sup>

### Overview

The introduction of the LGMP to the Regional Municipality of Niagara was temporarily delayed by a consultant study of the job-evaluation system and a concurrent study, by the same consultants, of the organization of the Public Works Department. Once those studies were completed in March 1975, however, the Project Leader displayed very strong initiative in working with all interested department heads to help them to establish goals and objectives. In company with the Queen's Project Team, he also made an effort to contribute to the development of an effective Committee of Department Heads.

Some attempts had been made to establish a Committee of Department Heads a long time prior to the LGMP but these had apparently failed and no meetings had been held for a considerable period of time. In the initial stages of the LGMP, department heads had little communication with each other, essentially operating independently through one of the four standing committees of Council. Relationships within Council and between administrators and Council were important factors in the special version of the Project which developed within the Region.

The Regional Council was large and rather unwieldy (29 members) and depended to a very great extent upon discussions that took place in the four standing committees to ensure that items that came before Council were given detailed consideration. These standing committees — Public Works, Finance, Social Services and Planning — did a good deal of political liaison work with Council on matters that came to their attention, sorting out the political implications beforehand so that Council consideration of items frequently required little further discussion. This preparatory work in committees often involved trade-off among councillors from area municipalities. Recommendations which might have created controversy in the Regional Council were generally cleared politically before they were placed on the Council agenda. Conflicts were resolved through trade-offs rather than through a process of consensual regional decision-making, thus, real Regional decision-making was rare and the primary regional function of integrated planning and development had not really emerged as a dynamic or even viable reality.

### The Effect of the Committee System

As a result of the strong political role of the standing committees, department heads were oriented primarily toward obtaining approval for departmental activities

through their respective committee. Thus there was no central or integrative force drawing department heads together and encouraging a corporate orientation toward the consideration and solution of broader Regional problems. Even at the council level, there was little corporate outlook because members felt largely obligated to meet the needs of their area municipality, which were often rather narrowly defined.<sup>10</sup> Debate of controversial issues was almost impossible with 29 councillors, and thus, often dysfunctional trade-offs became the norm. Since administrative departments communicated ineffectively, support services were generally poorly developed and little mutual understanding of departmental functions and service problems existed between departments. Where co-ordination was needed for the Regional Government to perform its integrative role, e.g., in social and physical planning (which needed to incorporate inputs from the Regional Planning, Public Works, Social Services, and Homes for the Aged departments), weaknesses in co-ordination were quite apparent.

Most department heads regarded their essential isolation from other departments as a management problem and recognized that they were tending toward the development of expensive internal departmental support services as a result of their isolation. Thus the functions of some of the smaller service departments were being subsumed by larger departments, but with an effective means of communication among departments lacking, the question of Regional administrative support services could not be effectively handled.

### The Initial Orientation Workshops

As a result of the lack of integration, the initial orientation workshops, which brought all department heads, some division heads and the four elected members on the Project Task Group<sup>11</sup> together, met with strong support from those administrators who were really concerned with improving the effectiveness of management in the Region. Strongest support came from the directors of the two largest departments, Public Works and Homes for the Aged, while consistent support also came from the Director of Social Services, the Director of Planning and the Director of Finance. On the other hand, the directors of the smaller support departments were seemingly indifferent to the Project although they gave it qualified, or at least vocal support in most cases.

It is interesting to note that it was the support services areas which were suffering most, in terms of actual management effectiveness, from the lack of co-ordination and communication that was so apparent, yet the heads of those support functions seemed least inclined to take positive action to rectify the situation. In retrospect, this probably occurred because their functions were already uncertain and the process of deter-

9 Appendix III contains a brief profile of the four Project Municipalities so the reader can compare and contrast the political/administrative structures.

10 It appeared to the Project Team that the election of a proportion of regional 'councillors at large' did not solve this problem since, in most cases, those councillors still, in fact, represented the particular area in which they made their home.

11 The Project Task Group in the Region consisted of an elected representative from each of the four standing committees of Council and all department heads.



mining goal and objectives might clearly identify that uncertainty and illuminate the vagueness and inadequacy of the roles they were playing. Thus, they chose to maintain an unhealthy status quo, rather than risk openness and discussion of inadequately performed roles.

In the orientation workshops, the Project Team met with immediate strong support on the part of the elected members of the Task Group, which included the Mayor of the largest Regional city, St. Catharines, and the Lord Mayor of Niagara on the Lake. In fact these elected representatives were so eager to see some of the Project's management concepts implemented that they not only put pressure on reticent department heads to attend Project meetings, but at later dates they also attended Project meetings in Toronto to indicate their support to the Provincial Government. Probably more than any other factor, the support of the Mayor of St. Catharines was instrumental in enabling the LGMP to contribute to management improvement in both the City of St. Catharines and the Region of Niagara. Other major factors in the Region involved the active support of the Head of the Department of Public Works during the planning stages and throughout the Project and the keen interest shown by the head of the Homes for the Aged Department, once the Project was underway.<sup>12</sup>

### Project Leader Initiatives

The Project Leader and the Queen's Team worked very closely together from the outset and developed something approaching an optimum relationship in terms of openness and trust. Both attempted to engender a similar relationship between themselves and Regional administrators and among the Regional department heads. In general, a good deal of trust and openness did develop between the Project's internal and external staff and most administrators. Even though the Project Leader was a member of the Public Works Department, the independence of his role as Project Leader was never threatened or seriously questioned. As the Project developed, he was able to play a major role in conflict resolution because both he and the Queen's Team representative for that area had developed high levels of trust with most Regional managers.

In certain cases, however, primarily with regard to personnel support services, initial frankness on the part of the Project Leader and the Queen's Team regarding the status of support services appeared to lead to reservations regarding the Project. It is worth noting at this point that the Project Team experienced strong personnel department support in only one of the four participating municipalities. In two of the four, the situation could be defined as one of veiled hostility. In the third, the relationship was friendly enough, but the personnel department was engaged in a major redefinition of role with the help of the Chief Administrative Officer, throughout a large portion of the Project.

In general, the relationships among department heads in the Region were reasonably good at the outset of the

Project; they just were not communicating and co-ordinating to any extent. The early Project meetings acted to stimulate communication and, when later problem identification workshops within departments indicated a need for co-ordination, in discussion of support services or general planning for example, the amount of co-ordinative activity increased and a real desire for co-operation was evident.

### Goals and Objectives Within Departments

As in other municipalities, the initial goals and objectives workshops in the Region involved the Task Group in some practice goal and objective setting for three of the Regional departments. The initial degree of co-ordination between departments was relatively low and the perceived need for inter-departmental co-operation was not as great as it was in the cities of London and St. Catharines. Thus, subsequent Regional Task Group meetings centred around a discussion of the path that the Project should take and thus departmental goals and objectives were not reviewed and critiqued in detail by the Task Group. That function was left for the Committee of Department Heads, which, however, did not regard the mutual feedback function as a high priority. Thus, while communication between departments was improved during the early portion of the Project, advances toward a true corporate perspective were slow and limited.

The strong committee structure in the Region rather naturally led to a desire by department heads to present their goals and objectives to their respective committees rather than to the Committee of Department Heads or to Council as a whole. Therefore, somewhat less basic co-ordination and mutual feedback was apparent during the goal and objective setting training period in the Region as compared to St. Catharines or London.

Immediately after the goals and objectives briefing for the Task Group, the Project Leader and Project Team began to work directly with department heads and the next management level (division heads in the Region). Goal and objective setting with the two large departments of Public Works and Homes for the Aged progressed very rapidly for the following reasons.

- 1 The Project Leader set dates for subsequent meetings following each workshop and the managers involved had definite preparations to make by the next meeting.
- 2 The two department heads were definitely behind the Project and made their support evident by attending meetings and by setting up their own departmental meetings to review and follow up on progress.

It was not that these departments were poorly managed. Actually, the reverse was true. Both department heads were progressive and regarded the Project as an attempt to further develop already effective management systems. Since these departments were really pace setters for the whole Project the more significant events which occurred will be described in some detail.

### DEPARTMENT OF PUBLIC WORKS

As mentioned previously, the Director of Public Works had requested a consultant's review of his department's structure prior to the outset of the Project. He person-

12 To these contributions to the Project we should add the sincerity and willing efforts of the elected chairman of the Task Group whose desire to see the Project processes incorporated into Regional management may have actually frightened some of the more reticent councillors, as will be discussed.



ally had perceived two potential advantages to a structural change.

- 1 He perceived a need for a specific planning and development division to carry out a somewhat neglected function for the department and to liaise with and provide physical information to the Regional Planning Department.
- 2 He wanted to encourage diversified experience on the part of his division heads and saw the establishment of a new division as an excellent opportunity to rotate and revise the responsibilities of the four division heads.

The consultants, unquestionably influenced by the director, recommended a new structure for the department which included a planning function, and the combining under one division head of the responsibility for water and sewage disposal, which had been managed by separate division heads prior to that time.

The four heads of existing divisions (Roadways, Sewage Disposal, Water, and Projects) were not particularly happy with either the consultant's recommendations or with changes in their own functional areas of responsibility. Of course, they were prepared to accept the change if necessary, but they all indicated some resistance.

The department head asked the Project Team and Project Leader if they could help to devise a departmental structure more suitable to his division heads than the one recommended by the consultants. The Project Team actually preferred to stay remote from restructuring until goals and objectives had been established. They felt that structural changes should take place only after it was evident that departmental goals and objectives could be more readily accomplished within a new structure. Upon this request, however, they agreed to work with the division heads to establish a breakdown of responsibility acceptable to them.

The technique employed in this restructuring is described in some detail in *The LGMP Experience: Guidelines for Organizational Change in Local Government*. Basically it involved having the division heads identify all functions they were presently performing, the functions they deemed necessary, all problem areas which existed under their present structure, and their suggestions for a future structure which might eliminate these.

The functions which they identified as necessary were grouped, taking into account current problem areas, or potential problem areas, and a tentative structure was established, which actually did not differ markedly from the one recommended by the consultants. Some discussion ensued regarding the most suitable allocation of functions, considering the workload. At least one division head felt that he would be assuming a good deal of increased responsibility if the changes were incorporated and that he should receive a higher level of remuneration than he was currently receiving.

At this point the department head was brought into the meeting (the process described had taken two three-hour meetings) and was briefed regarding the conclusions reached and the discussion that had taken place. He helped to resolve some differences and promised to

review salaries during the next year. Thus a new structure, at least reasonably acceptable to all the division heads and the department head, was established and the division heads assumed their new responsibilities. It took nearly a year before the changes in personnel allocations among the divisions were finalized and all the divisions were operating smoothly, but the interim period was not at all chaotic as a result of continuous communication among the division heads, and between the division heads and the department head during the transition period.

The Project Leader played a crucial role in ensuring that differences between top administrators in the Public Works Department were aired immediately. Therefore, hostility was not allowed to build to unacceptable levels and a sense of cohesiveness developed. Since there was a requirement for a good deal of co-operation and co-ordination between divisions, particularly between the Development and Projects Divisions and between both of those divisions and the two operating divisions, some fairly intense feelings did develop at times. When the Project Leader felt that third-party intervention was necessary he called upon the Queen's Project Team because he could not play a conflict resolving role within his own department, particularly when, at times, he too was involved in the conflict.

Overall, this combination of internal and external advisory functions seemed to work extremely well. There is no question, however, that an internal advisor or consultant, with other defined roles in addition to the advisory role, does take a high risk in carrying out his advisory function. Definitely these split roles proved to be a problem for the Regional Project Leader. While he fulfilled his consultant function very effectively and attained the respect of most department and division heads and a number of elected members, he did not really obtain personal benefits in terms of position or salary from his efforts. This will be discussed in more detail in the analysis part of the paper because the selection of a high-quality Project Leader or internal advisor is crucial, and the individuals who successfully fill those roles should be rewarded for their efforts.

The restructuring in the Public Works Department required a good deal of Project Leader and Project Team time, particularly since it was deemed advisable to accelerate goal and objective training at the same time, to help department members to adapt to their new roles. The goals and objectives training was particularly helpful to the Development Division in defining an essentially new role, and to the Projects Division which had to develop a co-ordinative relationship with Development at the same time as it went through an internal reorganization. The goal and objective training was less important to the more routine operations involved in the Water and Sewage Disposal Division and the Roadways Division. The exercise of setting comprehensive goals and objectives in work teams did, however, enable people who had not worked together before to co-ordinate more effectively, and gave the new division heads an opportunity to make the changes they felt were necessary in the functional areas under their control.

One thing became apparent during the work with the Public Works Department and, in fact, during the whole Project. Goal and objective setting is a technique



which can help a manager to plan, to co-ordinate his own efforts with those of others, to aid in delegation and to promote efficiency through the clear identification of responsibility and roles. The technique is not a substitute for effective and astute management, however. If the manager is really clear about his own function and uses goals and objectives to delegate and to ensure that people within his organization have definite, clear and demanding roles, the technique will help to promote both efficiency and effectiveness. If, on the other hand, the manager sets unnecessary or inadequate goals and objectives and does not combine clearer job definition with direction and reasonably firm management, the technique will be of little or no benefit. Firm, demanding management<sup>13</sup> must begin at the top and all managers must understand that efficiency in the use of material, financial, and personnel resources is always an objective.

These almost analytic thoughts are inserted in this recounting of events because the degree to which the LGMP processes influenced effectiveness and efficiency of management was a very influential factor in the acceptance of the technique. In many cases the technique was adopted but not really incorporated to its full extent to improve management. It was later to be criticized for its failures in this regard in the Public Works Department. This point will be discussed in far greater detail and some suggestions will be included in later parts of this paper.

#### HOMES FOR THE AGED DEPARTMENT

Another early initiative in Regional Niagara involved a comprehensive effort to apply the LGMP processes in the Homes for the Aged Department. This was undertaken with the strong support and involvement of the Director who encouraged a team approach from the outset.

Prior to his involvement with the LGMP, the Director made most of the major decisions in the department unilaterally, delegating specific functions to his administrative assistant and the responsibility for the actual operation of individual Homes to respective Home supervisors. Since most of his decisions had direct impact upon the operation of the Homes he felt that more input from Home supervisors was important and thus wanted to move toward a team decision-making operation.

In the early LGMP meetings, the Director, his assistant and the supervisors of the five Regional Homes, worked together to set goals and broad objectives for the department first, and the Homes second. In most of the early meetings, both the Project Leader and a member of the Queen's Team attended and acted as facilitators, helping to clarify goals and objectives for the members of the department.

Both the Director and his staff recognized that he had a tendency to over manage and that he was not delegating

as much authority as possible. The Home supervisors saw the LGMP as an opportunity to encourage delegation of authority both to them and, on their parts, to the people who reported to them. Managers throughout the department would thereby attain greater freedom in the form of more direct responsibility. The Director saw goals and objectives as a technique whereby he could delegate and still have a way of controlling through the definitive accountability of mutually determined objectives. Since the desires of the Director and the Home supervisors were compatible, the process of planning and management, using goals and objectives, was seen as highly appropriate.

The supervisors of all the Homes were able to contribute to the development of departmental goals and broad objectives. In fact, the Director found that he gained many useful ideas and insights as a result of the discussions that took place. As the workshops proceeded, he was also able to better identify and clarify specific functions which could be assigned to his assistant and specific areas of responsibility which he preferred to retain for himself.

Goals for the different Homes were sufficiently similar that Home supervisors could determine them as a working group. Some of the Homes had specific functions which required the generation of one or two special goals. Whereas broad objectives were also similar for more than one Home, in most cases, objectives, as might be expected, were more specific to the particular supervisor and Home. In spite of this divergence of objectives it proved to be advantageous to carry out some early objective setting workshops with all the Home supervisors present. In this way they cross-fed ideas regarding problems that were being encountered, objectives that might be suitable in working toward solutions, and innovative ideas for improving the operation of the Homes in general. Although a good deal of time was involved in these discussions, there emerged a sense of purpose and a clarification of responsibility, entailing clear direction for each supervisor.

#### Objectives For Ongoing Programs

As the Home supervisors began to identify objectives, a need for specific programs and a clarification of responsibility for the various professionals and para professionals on the staff began to emerge. Certain programs applied to all of the Homes, although the particular application in each Home might differ. For example, recreation programs were general to all Homes and, therefore, the recreation supervisors and staff from different Homes were able to work together in setting goals and broad objectives for a general program. After that joint process, which again involved a good deal of discussion and cross-feeding of ideas, recreation supervisors and staff from each Home set specific objectives for their own programs. The Project Leader and a member of the Queen's Team acted as facilitators for most of these meetings.

#### Objectives For Initiating New Programs

The Director began to use goals and objectives to establish new programs.<sup>14</sup> To obtain optimum input from his most experienced staff, the initial decision making meetings included his Home supervisors plus the member of each of their staffs who would be made

13 We do not mean to imply demanding management in an autocratic, controlling sense but demanding in terms of clear job definition, expectations, and desire for improvement, incorporated with a healthy concern for individuals and their development.

14 A detailed paper describing a procedure for using goals and objectives to establish new programs is contained in *The LGMP Experience: Guidelines for Organizational Change in Local Government*.



responsible for the particular program if they decided it was feasible.

The first program established was an outpatient program for senior citizens, in which staff looked after the general welfare and recreational needs of senior citizens who were able to live in their own homes rather than in institutions. This program, by substituting for full-time Home residency, had obvious financial advantages for the hard pressed taxpayer and, at the same time, contributed to the opportunity to lead a relatively independent life on the part of senior citizens.

The purpose of the program was clarified first and then the broad goals or general directions of the program were determined. Before the decision to go ahead was made, some broad objectives were discussed because the number who could be involved in the program was a major factor in determining its overall costs and benefits and, therefore, feasibility.

After three meetings the decision was made to go ahead with the program and definitive objectives were established. Future review dates were determined, program limits were established, and cut-off criteria were set so the program would be terminated if certain requirements were not met by the predetermined review dates.

The Project Leader and Project Team assisted during the establishment of this initial program, but the department staff adapted rapidly to the process and felt able to follow through themselves on subsequent programs.

#### The Clarification Of Roles

The other major Project involvement with departmental staff involved the clarification of the roles of professional and various categories of para professional staff, so each would be able to contribute to the operation of the department in an optimal way. This involved getting representatives from the different groups together and aiding them to do role descriptions for their own group and for each other group, e.g. nurses, nurses aids, and recreational staff. Comparisons of the alternative role descriptions determined by the different groups provided a basis for discussion. Following the discussion, definite roles, established through mutual agreement, were accepted by the relevant group.

The Director felt that the processes, which have been described, served to give him a better appreciation of the roles which could be filled by his staff and were also helping him to use the full potential of his work force. With a better grasp of the total operation, including the roles of each of the elements, and a clearer picture of the individual contributions of his sub-managers, he was in a better position to economize by emphasizing high priority activities and by making full use of the time and capability of his staff. Of course, the Director himself made an important contribution to the effectiveness of the new processes through his willingness to accept ideas and feedback from his staff and through his strong motivation to improve both the efficiency and effectiveness of his operation.

#### PLANNING DEPARTMENT

The Project Leader and Project Team also worked with the other departments in the Region to a lesser extent. In

the case of the Planning Department, difficulty had been encountered from the outset<sup>15</sup> in establishing a Regional-planning role mainly because area municipalities were hesitant to sacrifice any autonomy or to make agreements which, while they provided benefits to most of the area municipalities, contained some costs to a particular municipality. Thus, initial discussions with the Director of Planning and his two division heads concentrated upon the scope and nature of the planning function.

After some discussion, it was agreed that a major purpose of regional government, in general, was its potential to carry out broad-based planning that would integrate the needs of citizens of the area municipalities. Once the initiative had been taken to describe a wide scope purpose and function for the Regional Planning Department, the next task was to determine and define a management structure which would satisfy the operating requirements. Prior to the LGMP, the Director has obtained authorization for a large increase in staff and, as that increase was realized, the problems involved in defining roles within the department occupied a good deal of his time. By April, 1976, however, the Planning Department had determined a clear direction with some definite objectives and was well on the way to establishing the internal management structure necessary to achieve them. The firmer definition of Planning's role as a central planning and co-ordinating body for the Region precipitated some conflicts with other departments, but these were readily resolved through discussion and joint goal and objective setting. Generally, a stronger role for the Planning Department was welcomed by Council, administration and the regional review commissioner,<sup>16</sup> William Archer. By April 1976, it still remained to be seen whether or not the necessary political support existed for a strong Regional planning role.

#### SOCIAL SERVICES DEPARTMENT

The Social Service Departments in both the Region and the City of London presented similar challenges to a management improvement program. The staff did not regard themselves as managers and many had remained in the system over a period where considerable change had taken place. Particularly in the Region, the previous county welfare staff had merely been placed under a new central structure but had still maintained their old perspectives and loyalties. Whereas social service personnel are people oriented rather than management oriented generally, these county social service people had other disadvantages. They had played partially political roles in small organizations in the past and had no background or interest in the efficient and effective operation of large organizations.

Thus the Director had two major challenges, one of integration of a divergent group, and the other a need to provide at least some management training and guidance for his staff.

15 Regional Government was established in the Niagara Region in 1971.

16 William Archer had been commissioned by the Province to carry out a review of the Regional Government in the Region of Niagara. His report was made public in May, 1977.



The initial goals and objectives workshops within this department were frustrating for all concerned and accomplished little. Internal jealousy and lack of trust and openness precluded any real teamwork. Fear, on the part of many of the older staff, that objectives would reveal inadequate role performance, led to a tendency to give lip service to the concept of management by goals and objectives, but little else.

The Director recognized most of the problems with his department, and initially tried various methods of dealing with them outside the goal and objective framework. Designated changes in position and role, requests for some resignations, reassignments of responsibility, both direct and indirect criticism, all led to greater distrust and insecurity rather than firmer and more effective management.

Eventually, the Director agreed to work toward clearer role definition and more open communication with the help of the Project Leader and Queen's facilitators. Some very open discussions were initiated by the spring of 1976 and more direct feedback and discussion of conflicts was becoming the norm. The Director was proving his ability to accept open discussion, feedback and input from his staff and it appeared that a sense of cohesiveness and unity of purpose was developing. The eventual result of this change in inter-personal orientation are still somewhat uncertain and will be discussed in Phase III of the LGMP experience, after a final review has taken place.

#### FINANCE DEPARTMENT

The other large department in the Region was the Finance Department. The Finance Committee of Council was an extremely strong committee chaired by a councillor who felt that all management decisions should reside within Council.

The original Finance Department head had been hesitant to take the decision-making initiative in case he came into conflict with the Finance Committee. With the added direction provided by the Project, he began to meet with his division heads to set goals and objectives for the department and for each of their respective functions. These internal workshops were given greater incentive by the fact that other departments were establishing service needs in areas supplied by Finance services, e.g. purchasing and computer systems. Thus a more comprehensive and better defined administrative role began to emerge.

Working largely on their own, the members of the Finance Department established firm goals and objectives for most functions and proceeded to improve their operation in most areas. One new member of staff had previous experience with goals and objectives in an industrial organization and was able to provide internal help. He discussed the internal goals and objectives with the Project Leader and Queen's staff to ensure that there was no conflict with other departments. Joint departmental meetings were scheduled when necessary.

#### SUPPORT SERVICES DEPARTMENTS

One of the major management problems encountered in all the Project Municipalities was the ineffective development of support services, mutual communication and management procedures. Traditionally, service departments in local government had developed as independent units. Administrative support functions had emerged to meet the immediate needs of service departments but planned growth and planning for such support services was non-existent. In addition very few departments had even developed effective internal filing and information systems, whereas common municipal filing systems were non-existent. This has created a major problem in co-ordination, in manpower planning, and in the effective utilization of computer facilities in municipalities.

In the Region of Niagara, departments were tending to grow more independent just prior to the Project. Discussions with managers at superintendent level and below revealed that many difficulties existed with respect to support services and that communication between departments, where joint inputs were necessary, was constrained. As mutual problems developed and were not resolved, indifference to other departments was common and some evidence of developing hostility began to emerge.

The LGMP had limited success in this general area. Departments receiving support services were encouraged to set targets or objectives to obtain the type of service they needed and to communicate those needs and objectives to supplier departments. Supplier departments and divisions, e.g. Purchasing, which was a division of Accounting, were encouraged to define their support service objectives. The users and suppliers were then brought together to establish a procedure for the supplying of a support service which met user needs and fell within the capacity of the supplier.

Usually, the initial meeting would establish the type of service which could be supplied and was very helpful in improving mutual feelings and communication. User departments customarily went away from that initial meeting with a recognized need to better define a procedure which would be satisfactory to them to aid support departments in delivering the necessary service. For example, many departments were interested in the development of a personnel appraisal process. Before the Personnel Department could develop satisfactory forms and procedures for appraisal they needed to know the aim of the process and how managers intended to use the new technique.

Unfortunately, in many cases user departments were not prepared to do the necessary work to define their needs, and the initiative was either delayed or ended there. Where users carried through with their part of the work, suppliers usually tried to meet user needs. In certain cases, however, supplier departments rejected user requests on the basis that the service was unnecessary. In personnel areas in particular, there was an apparent lack of mutual communication and understanding between the staff department and the user departments. The presence of integrators such as the Senior Management Team and Chief Administrator in St. Catharines, and the CAO in London appeared to help

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17 See the LGMP paper, *The LGMP Experience: Guidelines for Organizational Change in Local Government*.



considerably in those two cities, but in both the Regional Municipality of Niagara and in Ottawa there were differences in perspective between Personnel and the departments serviced.

#### OTHER DEPARTMENTS

The Project Leader and Project Team assisted other department heads to set goals and objectives for their operations upon request and, in fact, took some initiative to meet all department heads to discuss their involvement early in the Project. All of these other departments were small and the main requirement of the department heads was one of role and purpose clarification. In the final analysis, of course, the incumbent managers had to make their own decisions about the purposes they served and the roles they played, as there was no central authority in the Region responsible for an integrative evaluation or audit of all administrative roles.

#### Involvement of Council

As previously mentioned, the four councillors on the Task Group quickly became strong supporters of the LGMP. In other Project Municipalities this early council support would have generalized to other councillors, but in the Regional Council there was little cohesiveness because each councillor, even those elected at large, was generally concerned with advancing what he saw as the immediate cause of his own municipality. Thus, while most members of the Regional Council were not unfavourably inclined toward the LGMP, no general enthusiasm developed to support the program.

Administrators in the large departments felt a need for more long-term guidance from the Council and had indicated a desire for Council involvement in the Project. The common procedure for Council approvals of all types involved working through the relevant Committee of Council and thus initiatives for enlargement of the LGMP role also followed this route. The four committees were given briefings on the nature of the Project and its progress in the Region at approximately six monthly intervals. As a part of those briefings, the relevant department heads commented upon their perspectives of the Project. In each briefing the desirability of Regional corporate goals and objectives was emphasized. Committee members, however, were mainly interested in ensuring that department heads considered the Region's current administrative involvement in the Project worthwhile. The degree to which an appropriate level of understanding of the purpose and potential scope of the Project at Council level could be achieved in such short and limited exposure was questionable. Sufficient interest, however, was generated by the second briefing, aided by the quite apparent support of most administrators, to create a desire on the part of most councillors for a more complete report to the entire Regional Council.

This report was presented during a special afternoon meeting of the Regional Council late in 1975. After the Project Leader had outlined progress to date and the Queen's Project Director had discussed possibilities for the future, a spirited discussion followed, with a good percentage of councillors participating. In particular, the Council members on the Task Group spoke in

favour of Council involvement in goals and objective setting for the Region.

The Chairman of the Task Group was also chairing the Council briefing session. He was somewhat excited by the apparent support for the Project and the interest of some councillors in Council involvement and he, somewhat prematurely, proposed that the Regional Council should resolve to determine goals and objectives for the Region. This precipitate invitation to action changed the perspective of the meeting from one of information and interested discussion to one of decision-making on what was, as already indicated, a highly political issue. Firm Regional direction meant the establishment of consensus by majority instead of decisions based on the avoidance of conflict. Political trade-offs would be harder to arrange if Regional goals were established and the Region might begin to operate as an integrated system. This would mean less flexibility and more need for the expression of personal commitment to stated directions on the part of councillors.

Most councillors were favourably disposed toward the Project and were quite happy with its progress at the administrative level. Some influential councillors had reservations regarding the development of a cohesive Committee of Department Heads as they saw no need for corporate decision-making, or even a corporate advisory function at the administrative level. Generally, however, even these councillors saw advantages to any process which could improve administrative efficiency and effectiveness.

Forced into a position where they had to make a decision regarding active Council involvement, however, almost all councillors with the exception of Task Group members preferred to consider that option in more detail. Thus they voted to delay further consideration of Council involvement until they were better informed. This was essentially a minimal conflict option which defused the growing and possibly divisive impact of the LGMP.

Following that meeting, some councillors put pressure on the Regional Chairman to forestall active Council involvement. At least one councillor pressured for Regional withdrawal from the Project. In the tradition of 'smoothing' conflict resolution within the Region, the Regional Chairman suggested to the Task Group Chairman and the Project Director that any immediate plans for Council involvement be abandoned at that time. Certainly a formal Council vote on a move to proceed with Regional goals and objectives would have created controversy. Even if a majority favoured the positive option, the likelihood of a successful Regional planning endeavour was extremely limited, given both the current political climate and the conflict avoidance tradition of Regional decision-making.

During the Council briefing the LGMP had reached its zenith in the Region of Niagara. Only a highly positive and strong recommendation in the Archer report, combined with firm Provincial support for that report, could have salvaged the LGMP's corporate potential, after the shelving of the proposal for Council involvement. While the Archer report was positive toward the LGMP, the Project was not identified as a potential integrating and co-ordinative force for the area muni-



cipalities. Thus the LGMP was to remain as a management improvement medium at the administrative level only. Even the Committee of Department Heads gave lip service to the corporate potential of the LGMP, generally proving to be unwilling to have active Project Team involvement in establishing the Committee's role and in carrying out problem identification and decision-making.

Inevitably the morale of the Project Leader and the Project Team suffered as a result of the constraints imposed. The Project was nearing its end and no long-range strategy to involve the Regional Council could be implemented at this point. As the Project Team almost consistently found in working with local government, new approaches to management were often considered to be appropriate, but still were smothered by the unwillingness of administrators or councillors to take any action which might create open controversy.

## IMPLEMENTATION IN LONDON

For a number of reasons, that will be explained, the LGMP did not achieve full 'Project' status in the City of London. By April, 1976, the Queen's Team had clearly emerged as one contributor to the City of London's Management and Organizational Development Program. This Program was directed by the Chief Administrative Officer (CAO) and co-ordinated by the Project Leader.<sup>18</sup>

The initial impetus toward London's involvement in the LGMP came from a desire by the London Board of Control to establish objectives as a part of program budgeting. The incumbent CAO, who retired before the LGMP implementation phase began, felt that the LGMP might be helpful both in meeting the desires of Board of Control and in establishing goals and objectives to improve the operation of London's administration.

In addition to the above factors, the Finance Department was very eager to initiate a form of program budgeting so Council could concentrate upon broader and more important issues and priorities during their budget reviews. The Finance Commissioner saw the LGMP as a means of involving other departments and of educating their managers in the processes and procedures necessary to make the transition from line to program budgeting.

### Obstacles Encountered in London

Almost from the outset, the LGMP encountered a great deal of difficulty in London for a number of reasons. These included:

- 1 the opposition of the Queen's Project Directors to any involvement in program budgeting before managers had experience in goal and objective setting. This, and probably some personality factors, resulted in the early development of an indifference to the LGMP by at least some progressive members of Board of Control who were particularly interested in

the introduction of program budgeting;

- 2 the appointment of a new CAO just as implementation began;
- 3 some reservations on the part of the CAO and other top administrators concerning the capability of the LGMP staff;
- 4 a massive reorganization of the City administration which took place before implementation could begin in earnest and while the Project was being implemented in other municipalities. The change in CAO plus the reorganization resulted in role confusion and uncertainty that continued throughout the Project with regard to expectations, degree of control, etc., on the part of some senior administrators;
- 5 means — ends confusion with reference to the purpose of the goals and objectives process, resulting in part at least from the need for a clear perspective of local government management;
- 6 understandable confusion on the part of the full-time Project Leader (City Program Director) who was caught between forces created by the above factors and by other forces generated by the personal and organizational adjustments of administrators to the changes that had occurred;
- 7 failure of the LGMP to recognize the requirement on the part of many administrators for basic management training before they could use goals and objectives in an effective way;
- 8 the tendency for major department heads to go their separate ways, resulting in distrust and a lack of communication and co-ordination among top managers;
- 9 some degree of rigidity on the part of the LGMP approach which did not flex and adapt itself to meet the very distinct needs of different administrators.

Although the direct influence of the LGMP was somewhat attenuated as a result of the above factors and the fact that, from the London CAO's perspective, the LGMP had a limited role as part of a larger City program, the Project still had a considerable indirect effect.

### Preliminary Stages

At meetings with the Board of Control in 1974, the Project Directors emphasized the dangers they perceived in proceeding with the development of a reasonably complex program budget format and goals and objectives training at the same time. They indicated a strong feeling that administrators should learn to set goals and objectives first and then become involved in the establishment of a program format at both administrative and corporate levels.<sup>19</sup> Some members of the Board of Control considered the explanations advanced by the LGMP Directors to be vague and theoretical. They lost interest in the LGMP at this time and, as later became evident, developed an indifference toward both the Project and Project Team. This indifference on the part of the City's executive directors necessarily influenced the reaction of the CAO and major department heads toward the LGMP.

### Appointment of a New Chief Administrative Officer

A new CAO was appointed in the Fall of 1974, when a Project Leader had already been selected and London

<sup>18</sup> To retain consistency we have designated the internal consultants as Project Leaders in all four municipalities. Actually the internal consultant in London was called a Project Director, an appropriate title, since London was operating a distinct organization and management development program and the Queen's Team was regarded as one contributing factor.



was already definitely involved in the LGMP. Although he was generally in favour of the stated objectives of the LGMP, the new CAO felt at the outset that reorganization of the administration was a higher priority. Since he had really inherited the Project from his predecessor, he was not so personally committed to its success. In addition, he shared the apprehension of the Board of Control regarding the ability of the Queen's Team to make meaningful changes in management. Almost certainly, he wanted to keep the process of organizational change and management improvement under his own control and direction and wanted to ensure that all program and Project decisions were made by him, preferably in concert with his senior administrators.

Partly because he did not take the LGMP Director into his confidence regarding his own doubts and personal objectives early in the Project, confusion and uncertainty characterized the Project involvement in London during the crucial initial year. Communication was tentative and mutual understanding was lacking in regard to the expectations and aims of senior administrators, the CAO, and the Project Team during the first year of implementation. By the end of that year the LGMP had lost a good deal of credibility, which was never recovered. Thus the LGMP staff were never able to play an optimum management development role in the City of London.

### Administrative Reorganization

The CAO's highest priority upon assuming his new position involved a major reorganization of the administration, and a firm of consultants was hired to examine the administrative structure in the Fall of 1974. The consultants submitted a recommendation for a new administrative structure which was approved by Council, with some revisions, in March, 1975. The new structure included the establishment of a CAO's Department containing the City Project Director, and a new Community Services Department which included the previous Planning, Social Service, Housing and Fire Departments, plus the Dearness Home for Senior Citizens. The Dearness Home and the previous Social Services Department were also placed under a new Social Administration and Development Division, the head of which reported to the Commissioner of Community Services. Two senior administrators were hired from other municipalities to fill both the Commissioner and Division Head positions that were created by this reorganization. The hiring of the new heads of the Community Services Department and the Social Administration and Development Division extended into 1976. Thus LGMP initiatives were postponed in all areas until June, 1975, and in the Community Services area they were limited until the new managers assumed their positions and established the basic structures for their operations. This did not occur until late in 1976 when the Project had limited time remaining.

In the meantime, there was some lack of trust and considerable uncertainty affecting administrative interaction at the top administrative level. Commissioners (Department Heads) were unsure of the attitude of the new CAO toward the LGMP and of his expectations and priorities in general. A period of mutual exploration ensued in which lip service was given to LGMP concepts but, aside from the efforts of a number of

middle managers, no real effort was made to develop operational and integrated goals and objectives during 1975. This delay, and the resultant confusion tended to discourage the middle managers who had displayed initiative in establishing goals and objectives and also had a negative effect on the motivation of both the City Project Leader and the LGMP Team.

To return to specifics, the LGMP orientation workshop took place in October, 1974. Thereafter, LGMP activities were essentially static, with the exception of the introduction of goals and objectives training to the Police Department, until the consultant study had been completed and the reorganization approved by Council.

The orientation workshop, itself, was not a particular success. A good deal of doubt was apparent regarding both the form and desirability of the LGMP, on the part of many administrators. There was a certain amount of verbal fencing which included efforts by the senior administrators to gain a better appreciation of the new CAO's position, both in regard to administrative reorganization and the LGMP. Very little clarification resulted from the orientation workshop because most of the questions were internally, rather than Project, directed and the senior administrators, London's Project Leader, the CAO, and the Queen's Team all were somewhat frustrated at its conclusion.

Two things seemed to happen during early workshops in the Cities of London and Ottawa which did not occur in the other Project Municipalities. First, there was a tendency to get caught up in semantics and detail during discussions and to lose track of the overall management improvement concept. Second, there was a tendency to treat goals and objectives as ends rather than as tools or means to achieve ends. Managers, in some cases, established goals and objectives because that was their appreciation of the 'thing' to do and they wanted to meet the expectations of the CAO or their respective department head. There was a certain amount of exploration to determine how the CAO really felt. Essentially, he was trying to encourage his senior administrators to show some personal initiative in using the Project to improve their own operations. Many senior administrators reacted by either ignoring the goals and objectives process or by establishing cosmetic sets of goals and objectives to fulfill what they interpreted to be the desires of the CAO. The potential contribution of goals and objectives to management did not seem to really concern many of the high level managers. The middle managers who did try to use goals and objectives in managing were often extremely frustrated by the lack of support from senior levels.

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19 The Project Directors felt, and the remaining Director still feels, that Program Budgeting has been largely used as a financial management control tool by Finance and Accounting departments. Effective management by programs, on the other hand, requires direct involvement by managers in the planning, implementation and evaluation stages and depends upon the acceptance of responsibility by those managers. Financial control devices will not achieve these management purposes, but they could be achieved through a systematic, co-ordinated approach involving line and support managers with the Finance Department in an advisory role in the establishment of programs and priorities.



The London senior administrators, more than those in any other municipality, rejected the Fort Worth case during the orientation workshop, claiming that it was not relevant to London. There seemed to be a great concern with parochial issues and internal politics. Without either mutual trust or a solid integrated effort to improve management on the part of some senior administrators, neither the LGMP nor the efforts of the CAO could have an immediate positive impact on City management in general. Lacking openness and support from some of his senior administrators the CAO turned to his middle management.

While the consultant's study was in progress, in January, 1975, the CAO appointed a Management Information System (MIS) task group made up of middle managers. This task group was commissioned to examine the state of the City's internal information system and to make recommendations regarding ways in which that system might be improved. The CAO saw the task groups as a way to develop the interest and management skills of his middle managers and to help them to develop a broader perspective on City Management.

The Queen's Team was not invited to take part in that task group at the outset, although the London Project Leader was appointed to the group. As the Project Team found at a later date, the CAO intended to manage the overall City program of management and organizational development and perceived the LGMP input as being primarily in the form of goals and objectives training for City administrators. Thus the input of the LGMP staff, from his viewpoint, was potentially far different from the input that they made to the programs in both St. Catharines and the Region of Niagara, where the LGMP itself was regarded as the central management development focus.

Following the orientation workshop, the London Police Chief indicated an interest in going ahead with goal and objective training while the consultant study was in progress. Since the Police Department was not involved in that study, the LGMP Team agreed to proceed with the necessary workshops. A description of the Police involvement follows.

### **Police Department**

In early February, 1975, the Individual Employee Questionnaire (IEQ) was administered to Police Department managers and the initial goal and objective setting workshop took place on February 27th and 28th. The Chief of Police, the deputy chief and all superintendents and inspectors on the force attended, a total of fourteen people. The Fire Chief and his deputy were also present, an early interest which was to be maintained throughout the Project.

The three top levels of the Police Department had previously been established as a top management team by the Police Chief. He felt that this team should set goals and objectives for the department and its major divisions. Once this was accomplished the various members of the

management team would accept responsibility for carrying out these objectives.

A second workshop on April 9th and 10th concluded the training and, in fact, the LGMP Team input into the Police Department program, although the Chief continued to consult with London's Project Leader. The goal and objective experience of the Police Department was documented by the Project Leader in late 1975.<sup>20</sup> The senior Police team found some difficulty with the concept of goals at each management level, probably because the three top levels of management were operating as a team. Thus they decided to establish goals at the departmental level only. When the senior Police team established objectives, the achievement of those objectives was delegated to the appropriate person or persons in the department including, as indicated above, members of the team itself.

Although the Police Department did not request further assistance from Queen's LGMP staff, the chief and his top management team had developed a good appreciation of the role they wished goals and objectives to play in management. They encountered some difficulty because the large and relatively cohesive top management team tended to make decisions without a great deal of communication with lower level personnel and, for a time, this became a problem. Some incidents brought this problem to light and the Police Chief and his top management team set objectives to improve the Department's communication and management information system. At last report, the department was making excellent progress in establishing effective management in all areas.

### **Goal and Objective Training**

Throughout the period from the October, 1974, orientation seminar, to the first goals and objectives workshop in July, 1975, the only contact between the Queen's Team and the Mayor or Board of Control was in the form of questions regarding the LGMP Team's progress toward the eventual evolution of corporate goals and objectives. Since the Project Directors were still convinced that administrative familiarity with the concepts was a necessary prerequisite to Council involvement in the determination of corporate goals and objectives, and since implementation at the administrative level was delayed by the consultant's study, the Board of Control became increasingly frustrated by the answers.

Although the two new managers required as a result of the reorganization were not yet in place, the CAO and Senior Management Team decided to proceed with goal and objective training once the consultant's recommendations had been revised and approved. The Initial Employee Questionnaire was completed and additional basic information on the current administrative operation was obtained by the Project Team in June, 1975. The initial goal and objective training workshop was held for the commissioners, the City Engineer, department heads, assistant department heads and division heads on July 10, 1975. It is worth noting that these initial workshops in London involved an extended group that included second level managers from most departments. This may have had some significant consequences which will be discussed later.

<sup>20</sup> The London Project Leader (Director) documented the police experience, with some help from the LGMP Team, and copies of that documentation are available from him, Scott Somerville, City Hall, London, Ontario.



At the initial workshops, representatives from the Finance Department indicated that they had already set goals and had some objectives. Thus, they felt they were essentially in the position of marking time until other departments caught up. Finance took the stand that once other department heads had established internal goals and objectives, they would then be able to join with the Finance Department in establishing joint programs and in working toward corporate objectives.

After some probing, the major department heads perceived that the CAO was in favour of establishing goals and objectives, so an initial effort was made to determine departmental goals and objectives in most cases. Some exceptions included departments such as Legal, Personnel (where a new Director was just being hired), Social Services and the Dearness Home. The latter two were about to come under two new levels of management, thus, allocation of responsibility was bound to change and there was little to be gained by the development of goals and objectives.

At this time, the Senior Management Team, which consisted of the CAO and the City Clerk, the Commissioner of Finance (the Commissioner of Community Services was not yet hired), and the Head of the Engineering Department, was meeting approximately once per week to deal with general issues. Somehow, this group did not seem to work effectively as a corporate management unit from the outset. Their meetings gradually became less frequent and were soon replaced, to an extent, by one-to-one meetings between the CAO and the senior administrators mentioned above. From the Project Team's perspective it appeared that the input to the Senior Management Team by its members lacked the desired frankness and there appeared to be a competitive rather than a co-operative spirit within the administration which contributed little to the CAO's need for joint problem identification and decision-making.

In late July, following a discussion in the first goals and objectives workshop, the MIS study group invited the LGMP Team to a meeting. As a result of the MIS study and LGMP input it was concluded that goal and objective setting in a co-ordinated and organized fashion would be very helpful in determining the real information needs of managers. This, in fact, was one of the conclusions and recommendations of the MIS study group which might have been expected to stimulate management involvement in LGMP processes.

During September, 1975, the CAO assigned a financial audit function to the Project Leader, whose duties were essentially split between the LGMP and other City projects from that point. Later in the fall, he was to become responsible for preparing inventories of City goals and objectives for Council and for the preparation of corporate position papers in certain designated service areas. The CAO had decided that a corporate goal setting initiative by the London Council and Board of Control would best come about through the submission of a series of administratively prepared position papers in areas such as housing, transportation, and land use, where corporate policy was evolving and frequent decisions were necessary. By examining the former decisions of Council in each service area, a set of rough goals and objectives was produced in each area, based on

those past decisions. This rough set of goals and objectives was presented to the current Council with the hope that it would provide some basis for thought and discussion and would help Council in generating a comprehensive set of current goals and objectives in the relevant area. The development of position papers proved to be a slow, difficult and time consuming process. By April, 1976, three papers had been completed but none of them had been presented to Council.

While the Project Leader had recommended the Queen's Team's involvement in helping the Board of Control to establish corporate goals and objectives, this involvement was considered unwise by the CAO as a result of the previously mentioned indifference by certain members of the Board to the LGMP. Thus, the LGMP staff helped with the research and writing of the position papers but were not involved in direct presentation or discussions with Council beyond that point.

The second goals and objectives workshop for senior managers, in September, 1975, resulted in some disagreement regarding the need for goals at administrative levels below the department head level. The Queen's Team felt that goals were important at each management level because they represented ongoing results areas for individual managers in each position, and the process of establishing them helped in defining the manager's job. As a result of the Police Department's experience, the London Project Leader and several administrators questioned the need for goals below department level. The Project Director agreed that departments could certainly proceed to set goals at the departmental level and objectives at all other management levels if the administrators preferred that approach.

Following that second workshop, departments proceeded at various rates to establish goals and objectives. The Queen's Trainer spent a great deal of time working with various administrators both on an individual and a team basis. Team development of goals and/or objectives was encouraged whenever possible. Training included both general workshops and aid to departments and individual managers.

### **Middle Management Training**

In an attempt to provide formal goal and objective training and to facilitate inter-departmental and inter-divisional communication in the City of London, a middle management workshop, involving thirty managers at the division head level, took place in November, 1975. If goal and objective setting had been proceeding more rapidly with greater evidence of its priority at the departmental level, this workshop might have provided more incentive. As it was, the leadership and positive drive at upper levels was lacking. Middle managers generally waited for more guidance rather than seizing the initiative, with some exceptions already described.

### **Departmental Progress**

The Data Processing Division managers worked as a team to rapidly complete objectives for their own operation, but quickly realized that, as a support department, their main operation was really dependent upon effective objective setting by other departments. Until



other departments clarified their objectives and determined their requirements from Data Processing in order to achieve those objectives, it was impossible for the Data Processing group to effectively plan their own work. They were, however, fully prepared to outline the type of service they could offer and had established procedures for priority setting, etc.

The Planning Division went ahead, mainly as a result of the effort of one young manager, who was eventually named Acting Planning Director. He proceeded, generally without help from the Project Team, and developed a detailed set of objectives for his division.

Finance Department managers indicated that they had already advanced to the extent that they were setting goals and objectives on a program basis. The main need, expressed by Finance, centered around the involvement of other departments in helping to improve the budgeting process and the financial information system. The CAO agreed that inter-departmental co-operation was necessary in both of these areas. He appointed a second middle management task group to concentrate on the financial information system and agreed that the Queen's Team and the London Project Leader should undertake a review of the budget process. These two initiatives were effected after April, 1976, and thus are not covered in this report.

The City Clerk's Department had several young, capable, middle managers who, with some help, adapted goal and objective setting to suit their own managerial needs. They met as a team with their department head to clarify areas of responsibility and then proceeded to set objectives to improve their own operation. Some of their objectives required co-operation from other departments. These cross-departmental objectives became problems, to some extent, as a result of rather poor inter-departmental communication and co-operation. Generally, there was evidence of willingness to co-operate, but administrative procedures for co-ordination were required. As a result some middle managers became extremely frustrated by the lack of co-ordination and support at upper levels and dropped their earlier initiatives.

The City Engineer's Department had some difficulty in setting goals and objectives below the departmental level. As a result of this apparent inability to perceive pay-off potential from goal and objective setting, an extensive series of problem identification meetings was scheduled for each Engineering division in the spring of 1976. A special internal facilitator was appointed within the Engineering Department to assist managers within the department in goal and objective setting. A full discussion of the results of these efforts must await Phase III Documentation.

The Fire Chief and his deputy had participated in the Police Department workshops. They had set goals at the department level as a result of that early training, and had also established a number of objectives. In September, 1975, the Fire Chief formed a management improvement team made up of platoon chiefs, and training and administrative officers. This group immediately began to identify problem areas in the Fire Service where management improvement objectives

were required. These included the areas of training, selection for promotion (and therefore appraisal) and rewards for superior performance.

A number of managers in London chose not to become involved in LGMP activities, with the exception of the general workshop meetings, and even these were consistently not attended by two second level managers. One manager explained that he did not need the LGMP as he was already managing effectively, while the other merely explained that he was too busy and did not feel that the time spent in such meetings was worthwhile. While the CAO encouraged attendance, he did not insist upon it. Generally, he believed in leaving managers to themselves as long as they did their jobs effectively. If, however, managers who did not get involved in management improvement later proved to be unable to think in corporate terms, or to do their jobs effectively, he would feel justified in replacing them.

There was no formal attempt to compare the relative effectiveness of managers who did get involved in LGMP processes with those who did not. Obviously, some managers were managing quite well without a formal development program. Others, however, were not and were staying out of the LGMP because they feared that their management habits would come under more direct evaluative scrutiny.

It is the Project Team's candid opinion that in most cases, strong managers used the new training and perspectives where they applied, although not necessarily in conjunction with the Project Team. Weak and insecure managers were often unable or afraid to clearly identify goals and objectives and thus frequently did not use the new processes. Thus most, but certainly not all, of the managers who did not participate were having management problems and were not eager to see those problems publicly identified.

Generally, administrative problem identification and problem solving processes suffered from inadequate administrative involvement. In spite of this inadequacy one of the beneficial effects of the LGMP in all four municipalities was the improved communication which resulted from the inter-departmental contacts and discussion. Several second level managers in London identified this as a major strength of the Project in the initial stages. At the same time, it was generally agreed that too much time was spent discussing fine details and semantics and not enough in improving the broader aspects of communication and co-ordination.

Inevitably, the development and improvement of support services was limited because some departments or divisions dragged their feet. The City Clerk's Department and the Data Processing Division had both developed programs which depended upon co-operation and co-ordination with other departments and both were somewhat frustrated because the other departments had not developed their goals and objectives to the necessary extent. Finance, of course, was hampered in the same way with regard to desired improvements in the budgeting process.



### **Role Confusion on the Part of the Project Leader (City Project Director)**

The London Project Leader was appointed to a full-time Project Leader capacity from a middle management position in the Finance Department. On his own recommendation and also on the expressed preference of the original London CAO, he was removed from the Finance Department and placed in a position reporting directly to the CAO. This full-time position was confirmed by the incoming CAO and further entrenched as a result of the consultant's study.

As a full-time Project Leader, he was extremely vulnerable to the success of the Project and the CAO's perception of the adequacy of his own contribution. The long delay in implementation weighed heavily upon the Project Leader. When it became evident to him that neither the CAO or Board of Control were strongly favourable to, or supportive of, the Queen's Team, he tried to maintain control of the Project in London to protect his own position. Recognizing that the CAO's perspective and objectives were somewhat different from those of the Queen's Team, he attempted to resolve those differences within his own office. As a result of these efforts, and a lack of understanding and communication, some members of the Project Team developed the feeling that he was not helping them to implement LGMP processes in the required manner and the relationship between the Team and the Project Leader deteriorated. This eventually resulted in split roles, with the Project Leader working on position papers for Council and assuming a co-ordinative function, and the Project Team carrying out all goal and objective training. The misunderstanding between the Queen's Team and the Project Leader was not resolved until the summer of 1976, after a change in Project Directors and a clarification of the Project's role in London's management improvement program.

### **Failure of the LGMP Team to Recognize and Deal Successfully with Local Problems**

In addition to the failure of the Project Team to successfully recognize and deal with the needs of the Project Leader, as mentioned above, and to interface effectively with the Board of Control, two other failures became apparent.

- 1 The Project Team attempted to implement a goal and objective setting process with some managers who really needed even more basic management training regarding the roles and duties of a manager. This was particularly true of administrators who regarded themselves as professionals but not as managers, and was most evident in the Social Services Division in the Dearness Home and, to some extent, in the Planning Division. A late and rather tentative attempt to remedy this problem was made in the summer and fall of 1976.
- 2 The Project Team attempted to develop inter-departmental management teams and improve coordination in an atmosphere of distrust and competition. As a result of distrust, communication was not open and real problems were not identified. It soon became apparent that inter-departmental meetings, without a definite corporate focus, could accomplish

very little under the circumstances. To an extent, departments were competing in the development of cosmetic, but not substantive and useful goals and objectives. There was no joint goal and objective setting at the corporate level and the latter two senior management workshops were particularly ineffective as a result.

Some administrators developed goals and objectives because they found them useful, some developed them because they felt that the next most senior administrator expected them or needed them as a confirmation of subordinates' efforts, and some refused to develop them at all unless the CAO explicitly stated that he wanted them. The LGMP staff treated all managers who wished to become involved in the same way, however, because as outside advisors it was very difficult to estimate the personal motives of managers.

### **Lack of Flexibility on the Part of the LGMP Team**

Although the LGMP approach was supposedly based on the notion of joint determination of Project aims, techniques and implementation speed, in reality it assumed a fairly rigid form involving goal and objective setting at succeeding administrative levels. The approaches to managers and offers of assistance were typically aimed at goal and objective determination. The large senior and middle management seminars emphasized goal and objective setting and left little room for discussion of other needs and techniques of management.

Many managers probably could have used advisory help directed toward specific problems they were experiencing. For example, many, as it later emerged, were unsure of their role and the scope of their responsibility. Others had difficulty in delegating and in communicating to subordinates and superiors alike. For such managers, goal and objective setting posed an extra workload which only added to their confusion. Although the goals and objectives process emphasized the clarification of responsibility as a first step, managers who were genuinely uncertain of their own roles were often unsure how to begin the process of clarification and were sometimes in doubt regarding the overall responsibilities and roles of a manager. They were hesitant to accept LGMP advice, or initiatives by other departments, e.g. Finance, because they were fearful of losing the control over their jobs.

### **Summary of Progress**

The administrative reorganization had a primary influence upon the LGMP during this whole period. As a result of the changes brought about by that reorganization and the appointment of a new CAO, the LGMP Team was able to exert little influence upon the administration during the early stages of the Project. The senior and middle management workshops did provide a forum for corporate discussion and, many middle and upper managers may have been influenced to look favourably upon the Project for this reason. Generally, however, the Project was unable to bring managers from different departments together to work toward the improvement of support services, inter-departmental communication, information systems and inter-departmental programs.

Inflexibility and inability to understand specific mana-



gerial problems were two weaknesses of the Project Team, but there is another contributing factor which is really based in the nature of the Project itself and the environment which constrained and limited its role in London.

In previous publications, we have emphasized the integrative role of the LGMP. Basically the Project was intended to provide a central focus for management development and organizational improvement. Various techniques were to be made available to managers and mutually selected and implemented by the external advisors and the administrators or councillors themselves. This inclusive Project was to be operated as a joint, all encompassing, effort.

London's CAO, however, decided upon a City management improvement program, in which the LGMP team played a specific role — that of goals and objectives training. The LGMP staff, on the other hand, were trained and motivated to think in terms of a management improvement program in which they were the central focus. Not only were they confused by the narrowing of their role, they found that they had insufficient power to obtain co-operation without explicit support from the CAO. They were able to offer a service, but most senior administrators were primarily concerned with adjusting to the new structure and the new CAO. Thus administrators were not motivated to go through an open process of problem identification and problem solving until they were more certain where they stood.

The major problems in London involved communication barriers among departments which, in turn, resulted from the role confusion and insecurity already mentioned. These could not be solved without some trust and open communication between departments but the LGMP was unable to influence those factors as a result of the limited definition of its role in London.

The CAO had assumed the integrative role as, of course, he rightfully should. Had the CAO and the LGMP Director attained a high level of mutual communication and trust, they might have worked more effectively in unison to convey that atmosphere to the administration. Unfortunately, this did not come about and the LGMP Team was of limited usefulness in the City's Management Improvement Program.

## IMPLEMENTATION IN OTTAWA

In retrospect, the City of Ottawa was probably a poor choice for LGMP involvement. Ottawa is a unique city in Canadian life as a result of a number of factors including the following.

- 1 A primary factor is the overwhelming influence of the Federal Government which is really Ottawa's prime industry. The Federal Government, however, pays fewer taxes and exerts more influence on Ottawa's local government than most industries, even those in one-industry towns.
- 2 The National Capital Commission (NCC), an arm of the Federal Government, assumes certain functions in the Ottawa area which would normally be carried out by local government. In fact, the NCC has largely taken responsibility for long-range planning in Ot-

tawa and the municipality has exerted little control over patterns of growth, land use, transportation, planning, etc. Other municipalities have been hesitant to come to grips with corporate issues, but in Ottawa there is some apparent doubt about even the boundaries and extent of responsibility of the Council and administration.

- 3 Although Ottawa lies within a Regional municipality, the Region is dominated almost totally by the City. Certain support functions are essentially shared between the Region and the City.
- 4 The employment situation in Ottawa has been greatly influenced by a rapidly expanding Federal bureaucracy with relatively high wage levels and considerable security. Any changes in Federal hiring and employment policies could have considerable impact upon the rate of expansion of the city.

In addition to the above four factors which created unique requirements for Ottawa's local government, there were at least two other factors which influenced Ottawa's involvement in the LGMP. The mayor, who had been highly influential in the initial development of the Project, was replaced by a new mayor before the Project was initiated. In addition, the City administration had not yet adjusted to a massive reorganization that took place in 1972, involving the centralization of public services into two major departments, Physical Environment and Community Development.

Three departments, Community Development, Finance and Physical Environment took part in the LGMP. The other five departments, Executive Services, Fire, Legal, Personnel and Police indicated that they preferred to be excluded during the initial stages, as did a special department that operated the city's football stadium, Lansdowne Park.

By April, 1976, it had become evident that City departments were sufficiently inter-dependent that a management improvement project involving only some of them could, at best, make a limited contribution. The department heads who were involved were very eager to have other departments join the Project, whereas those who were not involved were opposed because they were largely support departments who feared that their support roles would be redefined if they became part of the LGMP.

More than in any other municipality, the Project in Ottawa indicated very clearly the need for a corporate orientation to management in local government, and for an administration capable of offering consistent and broad scope advice to Council and of carrying out Council's instructions in an integrated fashion. It also clearly identified those management areas where a department head could act unilaterally to improve management in his own department and also those areas where he needed the involvement and co-operation of other administrators.

To place the Ottawa involvement in the LGMP in an accurate perspective it must be realized that the two main public service departments, Community Development and Physical Environment, were initially involved and that they, combined with Finance, contained over 75% of the City's manpower. The unin-



volved departments were primarily support departments with the exception of the Fire Department (the Police Department is not a City department in a true sense since it is controlled by a Police Commission rather than City Council).

As senior management workshops in Ottawa are discussed, it should be remembered that they differed from those in other Project Municipalities because only the senior managers (department and branch heads) from the three participating departments were involved and they did not constitute a corporate administrative team in the true sense. Also, since most support departments were not represented, discussions regarding support services and general management processes such as the budget, the management information system and the operation of the Committee of Department Heads were relatively meaningless and, in fact, frustrating for the managers from the three participating departments.

Many of the problems that plagued the Project in Ottawa appear to be common in local government. In fact, the discussions which took place in Ottawa workshops seemed to be so illuminating with regard to municipal problems, and were such a good indicator of the reasons the LGMP evolved as it did, that a much more detailed chronological record has been included for Ottawa than is the case for the other Project Municipalities.

### **Orientation Workshops**

Partially as a result of the large number of staff in the top three levels of the three participating departments and partially as a result of a desire to orient and to motivate as many managers as possible from the outset, three orientation briefings were scheduled for Ottawa's senior administrative staff. The first workshop for department heads and branch heads lasted for one and one-half days whereas the two workshops for division heads were each of one day duration.

Discussion during those three workshops revealed a good deal of cynicism among the participants regarding the potential for an LGMP contribution to City management. In fact, the three department heads seemed to provide the only impetus for the Project. Branch heads outside of those in the Finance Department generally seemed reticent to get involved, and most division heads clearly felt that little would be accomplished. They perceived little inter-departmental communication at upper administrative levels, and felt that there was limited co-ordination and little mutual understanding between Council and the administration. Unlike the other municipalities, there was little effort to search for solutions to the management problems identified. In the initial workshops in Ottawa it seemed that problems were identified with the purpose of discouraging or disparaging further Project involvement.

This passive resistance was puzzling to the Queen's Team at first, until it became apparent that a large reorganization that had taken place after a consultant's report two years earlier had never been fully instituted. The commissioners of Community Development and Physical Environment were still struggling to integrate several previously independent departments as branches under their respective leadership. There was little integration, co-ordination and communication within

those two super-departments, let alone among the City departments. Since previous department heads, who were now branch heads in the super-departments, had successfully resisted efforts to remove their previous independence to this point, they did not particularly want to get involved in a Project with a corporate management perspective. They did not openly resist the LGMP but did not support it either, probably feeling that if they continued to verbally support co-ordination but did not actively become involved, the process of passive resistance would succeed, as it had in the past, and the LGMP would disappear. Only at a later date when the LGMP process began to pay dividends within the Physical Environment Department did support emerge at the branch and division levels within the department.

The Finance Department had been attempting without success to introduce a limited form of program budgeting. Although Finance administrators could do little to influence management in the City in general, they were able to independently apply most LGMP concepts in their own spheres of influence. They worked largely without LGMP staff assistance and it is very hard to estimate the influence that the LGMP had upon the Finance Department. Certainly financial managers were actively attempting to improve their operation before the LGMP was initiated. If all of the other departments had been involved, the LGMP could have contributed to the evolution of corporate processes and thus would have been of more help to the Finance initiatives. As it was, the Project Team remained in contact with the Finance Department, but had very little training involvement with department managers.

### **Senior Management Goals and Objectives Workshops**

Probably the most useful way to promote an understanding of the situation in Ottawa is to identify the major management issues raised at the senior management level workshops held in 1975.

#### **WORKSHOP NUMBER ONE**

The first goal and objective setting workshop took place on April 10th-11th, 1975, and was attended by the three commissioners and fourteen branch directors of the three participating departments (Physical Environment, Community Development and Finance). Emphasis was placed on the problems involved and the procedures required in setting integrated goals and objectives both among and within departments. A part of the workshop was also devoted to practice in the setting of departmental and inter-departmental goals.

As the workshop got underway, it immediately became evident that one of the key concerns of the senior staff was the need to involve Council in the LGMP processes. The previous election had resulted in a 60% Council turnover, and the administration was concerned about the possibility that there would be many rapid changes in Council policy which might upset administrative goals and objectives, no matter how carefully they were determined.

An example of a major reversal in policy by Council was offered by the Commissioner of the Physical Environment Department. He explained that, with regard to the 1975 budget, it had been the general intention of the Board of Control to hold the line on the provision of



public services to the level of the preceding year. Yet there was a significant number of newly elected aldermen<sup>21</sup> who were pressing for increased expenditures to broaden the range and enhance the quality of municipal services. Costs involved were seemingly a secondary consideration to this group, contrary to the previous guideline and the new constraints upon municipal spending. Though this is only one example, it was felt by administrators that the outcome of this type of conflict within Council could seriously upset administrative forecasts and counteract administrative efforts to control expenditures.

A number of alternative methods of involving Council in the LGMP were discussed, including working through the committees of Council, the Board of Control, the full Council or some combination of these groups. Since Ottawa had just been through a very lengthy budget approval process, some senior administrators suggested that the involvement of Council could take the form of obtaining its early input on budget preparation in the form of goals and objectives for the City.

This strategy would have two beneficial results. First, obtaining the commitment of Council would allow for the closer co-operation and greater dialogue that a number of senior administrators felt was needed for smoother city functioning. Such direct involvement might give senior managers an opportunity to air their concerns more directly and on a less formal basis than was required at Council meetings. Second, it would highlight and hopefully lead to the resolution of a key problem area for the senior administration – the cumbersome and lengthy budget approval process. It was felt that expressing budget dollar allocations in terms of goals and objectives might help to convince councillors to abandon the unnecessarily lengthy process of approving the budget by line item analysis. Performance indicators could be developed to reflect levels of service.

No decision was reached during this workshop and Council involvement in the Project was slated to be reintroduced at future workshops. It is worthwhile to point out that the LGMP Directors were convinced, from the outset, that at least two things were necessary before effective Council involvement in corporate planning and management could take place. The most important of these was a desire on the part of a large number of councillors to bring about a real improvement in management, and the other was an alert, aware administration which could offer ongoing, objective and reasonably consistent advice to Council.

A second key issue at this workshop was the need for

inclusion in the Project of the non-participating departments, Executive Services, Legal, Personnel, Fire and Lansdowne Park. While the general feeling was that the participation of these departments, particularly Personnel, was needed, it was suggested that it might be better to approach the non-participating department heads only after the participating departments had set goals and objectives which would specify where assistance from the support departments was needed. This would enable the support departments to establish goals and objectives to meet needs for their services which were already identified.

At this point, one of the Project Directors suggested the use of 'means goals' to establish this need. (A 'means goal', was defined as a goal intended to improve management through the development and effective use of human, financial or material resources, through the improving of managerial processes or through the development of better inter-departmental co-ordination.) It was soon decided to adopt the concept of means goals as a common approach to goal setting for the three participating departments. The more commonly known operating or service goals (goals to achieve the specific purpose of the relevant organization or organizational unit) were thereafter called 'ends goals.'

Following further discussion, it was suggested that the non-participating departments should be asked to join the program once the participating departments had completed their goals and objectives and were able to identify their support needs through 'means goals' and objectives, which in turn would represent 'ends goals' for the support departments and divisions.

#### WORKSHOP NUMBER TWO

The second goals and objectives workshop was held on May 7, 1975. Departmental and branch goals were reviewed and refined and the participants practiced the development of problem solving objectives for problems that had been identified in both 'means' and 'ends' areas. This workshop took place one day after the Council budget approval session and, since this frustrating exercise was fresh in the participants' minds, the first discussion centered around the application of goals and objectives to the budget.

Ottawa's budget was partially in program format at this time, but the programs that had been defined were intra-departmental and still contained detailed items of expenditure. Council had spent a good deal of time going over these details and it was felt that councillors should have concerned themselves more with levels of service, program objectives and program costs and less with details. It was the opinion of the director of the Program Budgeting Division that a framework of goals and objectives for each program would have saved time in the approval process. The problem to be overcome before this could be done involved the refinement of measurements of levels of service to the point where they were useful in spelling out what any particular budget change would mean in terms of these service levels. The Budget Director and a number of workshop participants agreed that an effort was needed to further adapt the budget to a goals and objectives format.

Prior to the Project's inception, an attempt had been

21 Eventually, the active participation of this group of councillors polarized Council into two loosely knit voting blocks. Though occasionally suggested, this polarization was not necessarily a result of political party affiliation, but its existence was apparent in the make-up of the two main committees of Council – The Community Development and the Physical Environment Committee. (Following the election, each alderman was appointed to the committee of his choice.) The functions governed by these committees are quite clear cut: recreation, housing and social services versus the 'hard services', roads, sewers, and maintenance. Whenever voting was polarized, the split generally mirrored committee membership and the issue involved was clearly in the domain of one of these committees with the membership of the other committee providing opposition.



made to state programs in terms of goals and objectives. In this regard, the LGMP was probably viewed by the Finance Department and Program Budgeting Division as providing an opportunity to extend and refine that initial attempt. Initiatives taken by the Finance Department were regarded with suspicion by other managers, who feared the loss of financial control over their own operations and a resultant loss of power and ability to manage. Finance hoped the LGMP would be regarded as a sufficiently neutral influence so that line departments might co-operate in establishing program objectives for the budget.

A second issue which developed during the workshop concerned 'means goals'. It seemed that the three departments had independently set means goals which had a great deal in common and it was resolved by the group that the means goals of the Physical Environment Department would be adopted by the other two departments. If a department felt the need for unique means goals, these could be added. The means goals adopted were the following.

- 1 To develop and maintain a sufficient personnel establishment and equipment inventory to carry out the goals of the department.
- 2 To develop and maintain the methods and procedures necessary to pursue the ends goals of the department.
- 3 To control working environment and conditions, and to provide scope for career development with rewards to match contributions.
- 4 To operate in a lawful manner and to obtain decisions from the Legal Department protecting the Corporation's interests.
- 5 To co-operate with other departments in pursuit of common goals.
- 6 To assure that the department operates within its approved budget.
- 7 To recommend policies and priorities to City Council and to carry out Council decisions.

In Ottawa, more than in any other municipality, the Project encountered a preoccupation with the need for structure in terms of common methods, common terminology and defined procedures. While a certain degree of regulation and conformity was necessary for communication, the LGMP staff feel that approaches to management should reasonably be expected to vary, both with regard to the technology of the department and with the individual manager. In Ottawa, however, regulation and commonality were regarded as primary needs, probably because, as the Queen's Team found later, so little common practice existed there. A great deal of workshop time was spent debating what often seemed to be questions of semantics.

#### WORKSHOP NUMBER THREE

The third goal and objective setting workshop in June, 1975, included a discussion of strategic and corporate planning. It seemed that Ottawa administrators, in particular, had a tendency to narrow their perspective to their own level of management or their own specific managerial unit with little regard for the larger issues which inevitably affected them. From both the adminis-

trators' and the Project Team's viewpoints it was important that the department and branch heads discuss this problem, since their input and involvement was necessary in determining how the Project might be able to work with the elected body to develop corporate and strategic goals.<sup>22</sup> In this meeting, problems that had surfaced as a result of attempts at goal and objective setting were also discussed, and an attempt was made to turn the emphasis away from concentration on the development of impressive lists of goals and objectives, to their effective use in current management practice.

Ottawa's ability to carry out strategic planning was questioned by many administrators who pointed to the powerful external forces which affected the City. The Commissioner of Finance felt, however, that currently there was not enough strategic planning being done, and that there were a number of disparate strategies depending upon the planning document or philosophy to which a person referred (e.g. the Official Plan, the Five Year Capital Budget, the Regional Plan, or the plan of the National Capital Commission). Practically speaking, a key problem with strategic planning was the continuing need to integrate and commit all levels of government to a long-range plan which might constrain or control subsequent political decisions. There had to be some way of establishing a certainty that the agencies involved would not revise their priorities and thereby force revision of mutually agreed upon plans, without a good reason and some prior discussion.

An inter-departmental concern with respect to strategic planning involved the integration of long-term utilization planning (from a Planning Branch point of view) with long-range financial planning. Until that time, the director of the Planning Branch felt that he had been spending a great deal of time translating the wishes of Council and the Planning Board into a projection of what the City's specific planning goals ought to be. The key problem was the lack of broad, long-range planning goals and objectives in sufficient detail to determine what future developments were politically desirable and financially realistic for the City. The discussion thus highlighted the need for better communication between the Finance Department and Council and among all administrative departments, in defining long-term financial constraints, as it was apparent that the existing Official Plan and the Five Year Capital Budget had not been prepared in co-ordination.

In addition to corporate and strategic management issues, the commissioners of Finance and Physical Environment suggested more emphasis on a better understanding of effective management practices. Referring to his own internal, department-wide productivity improvement program the Finance Commissioner suggested that the same method could be used by other departments. He also stressed the need for more attention to specific areas of possible management improvement by the LGMP. In this regard, the Commissioner of

22 In LGMP publications, goals and objectives, determined by a municipal council for decision areas falling fully within its area of responsibility, are defined as corporate goals and objectives. Strategic goals and objectives, are those of the total community, and strategic goal setting involves other boards and commissions in addition to council.



the Physical Environment Department suggested that delegation and the effective use of time were important subjects that had not been handled at any of the workshops. In particular, he was desirous of some specific guidance concerning the efficient managerial use of time.

On the same topic, the Director of the Planning Branch referred to a study of the managerial use of time conducted by members of his staff. He regarded two findings as critical. First, results showed that as much as half of certain administrators' time was being taken up with meetings. Second, completion of Planning Branch programs often had to be delayed due to the necessity of working with, and/or depending upon, many outside groups (community action groups, developers, boards and commissions, area utility companies, etc.). This dependence upon other agencies and individuals made the management of time very difficult. Other time related problems mentioned were the lack of clear inter-departmental communication (probably resulting from the lack of specific procedures for interaction, and the greatly increased workload in the Planning Branch due to the introduction of the numerous provincially and federally subsidized programs such as the Neighbourhood Improvement Program (NIP), the Residential Rehabilitation Assistance Program (RRAP), and the Ontario Housing Rehabilitation Program) (OHRP).

From these initial workshops it was evident that the bulk of the management problem areas identified involved co-ordination and co-operation at either the inter-departmental level, the Council-administration level, or the broader community level. The bulk of these three meetings had been spent discussing influences which constrained managers within the participating department but which could not be resolved by the participating departments alone. As the LGMP Team consistently found, managers were very good at referring to the management problems which existed at a higher level in the organization, and which they felt constrained their operation, but they had real difficulty in identifying problems at their own level. Their subordinates were able to define such problems, however, and the need for two levels of management in every attempt at problem identification became apparent.

It was also interesting to note that the two internal management problems identified, 'the need to delegate' and 'the need to utilize time more effectively', could both be dealt with through effective use of goals and objectives. Managers were generally unable to make the connection, however, between the concept of goals and objectives and improving the way in which they did their own job. 'Ends' objectives were easily established. 'Means' objectives were much more difficult. In both cases, however, the objectives had to be both meaningful and needed, otherwise the time spent in determining them was largely wasted.

Following the June workshop, the Project Team devoted a great deal of time to working with the branch directors, particularly in the Physical Environment Department. It was intended that the period between workshops be used to complete objective setting training to the divisional level, to begin to develop objectives for support services and to initiate, at least informally, both an ongoing and a periodic review of accomplishments.

Two factors made this training difficult. During this period a growing concern developed, on the part of some managers, for more tangible results from the process. Generally, these senior level managers felt they had been devoting a great deal of time to producing letter perfect statements of goals and objectives and to extensive debate about definitions and meanings. They were growing impatient with the lack of utility of this effort – goals and objectives were still not an integrated part of their management style. Managers were asking to be shown how the system could be of practical benefit to them and needed specific guidance in how to use the process in their jobs. Second, some managers found it difficult to devote the necessary time to Project activities. As previously mentioned, some managers were intentionally restricting their efforts and involvement. Others were finding the application of concepts difficult, while still others were applying the new ideas in their own way and were not relating openly with the Project Team or with other administrators.

#### WORKSHOP NUMBER FOUR

To help to resolve the first problem, a series of short handouts was produced and handed out at an October 10, 1975, meeting.<sup>23</sup> These provided the focus for most of the workshop training, their main purpose being to emphasize the practical benefits of the goals and objectives system. A second aim of this fourth senior administrative workshop involved a discussion of managers' use of time and the effects of cumbersome procedures, delegation problems, and inadequate structures.

The October 10th workshop was the last at the senior administrative level for the three participating departments. To put the discussion at that meeting in perspective some critical events which had occurred during the summer must be explained.

#### Departure of Senior Administrators in the Community Development Department

From the early stages of the Project it was clear that the Community Development Department was experiencing the most significant managerial problems in the City. Key among these was the ineffective use of managerial time and general confusion resulting from the lack of integration, communication and co-ordination among branches. It was evident that most matters being handled by the department were behind schedule. Probably this was partly attributable to increased workload from causes beyond departmental control. The NIP, RRAP and OHRP programs had created a great deal of additional administrative paperwork and responsibility, and the budgets for these programs allotted no

23 The content of these mini-articles, *The LGMP and the Manager*, *The LGMP and the Senior Department Teams*, *The LGMP and the Committee of Department Heads* has been incorporated in *The LGMP Experience: Guidelines for Organizational Change in Local Government*.



funds for the administrative workload increase.<sup>24</sup> Also a time study conducted by the Planning Branch showed that some of the senior branch personnel were spending over half of their time at meetings. Part of the problem also resulted from a great deal of activity on the part of over eighty community action groups, a very large number for a city of Ottawa's size.

The senior management of the department had been criticized by Council on more than one occasion. Lack of clear definition of authority between the Planning and the Urban Development Branches had caused major disagreements over program responsibility at a public Board of Control meeting. Communication between those two branches was particularly poor. In addition the general morale of the department was low. Departmental staff generally seemed to feel that they could expect little understanding and support from their upper management.

The commissioner seemed to be continually troubled and overworked and was frequently either absent or called from LGMP meetings.

In an attempt to address some of these problems, the commissioner, following the June 10, 1975 workshop, had requested that the LGMP Project Team provide assistance in further developing and expanding a time study done by the Planning Branch to other administrators throughout the department. Keeping the format as simple as possible, activities were coded as to type of activity performed, initiator of contact and type of contact. The purpose for the time study was to determine how the managerial day was being spent. It was hoped that once this information was available, overloaded areas, the need for more effective delegation, more manpower, or more effective planning, etc. would be recognizable, and steps could then be taken to correct problem areas. Actually the LGMP Team felt that they were assisting the department head to deal with symptoms rather than problems, but this seemed to be the only way to at least develop some working relationship with the department.

Constraints of this type upon LGMP input to management improvement were found to be a consistent problem. The very managers who needed help most were so confused and overworked that they could not find time to take corrective action and they looked for immediate solutions which were often not relevant. In some cases, the LGMP staff were able to help by working with managers to improve delegation and communication. In an equal number of cases, however, managers would not, or could not, accept personal responsibility for their problems. They blamed their confused condition on lack of staff, on inadequate staff, on increasing workloads, and on lack of understanding or confusion at a higher management level. Many of these problems were rooted in inadequate basic management techniques and goal and objective training alone could not help. This question, which is an integral one for management improvement, is discussed in greater detail in the analysis part of this paper and in an earlier LGMP publication.<sup>25</sup>

In an attempt to improve communications within and between branches, participation in the weekly branch and department head meetings was expanded by the commissioner to include the 12 division heads. This

plan immediately produced a negative reaction, seemingly being viewed by most as simply wasting more time by involving many people whose input to most items discussed was so slight as to relegate them to the role of observers. The functions of the branches of the department were so diverse that the matters discussed often had little to do with the tasks performed by many of those attending. While this complaint probably stemmed from an agenda problem, it resulted in staff resistance to the whole idea of these extended meetings.

A second meeting of this newly expanded management team was scheduled but never took place. On September 10th, the Commissioner of Community Development and the directors of the Urban Development and Planning Branches of that department were asked for their resignations by an 'in camera' decision of the Board of Control.

Although the problems in the department were common knowledge in the administration, there was an extremely negative reaction throughout City Hall to the suddenness of the dismissals. The individual security of many administrators in all departments was threatened and a number of administrators complained that the discharged managers had not been given fair warning of the intentions of the Board of Control. Others felt that the fault did not reside only in the Community Development Department and that nothing substantial had been attempted at the elected level to cope with the situation before it reached crisis proportions. Dismissals such as this naturally create insecurity, but in this case the tension was abetted by a subsequent nine month hiatus before replacements were obtained.

During this period, the gradual consolidation and integration of the previously diverse elements of the Physical Environment Department continued. This resulted in a number of redundant positions and one forced early retirement in February, 1976. While this economy was the result of more efficient management, it did contribute to the insecurity of many City staff, a feeling which would have been alleviated by more rapid and definite action by Council and the Committee of Department Heads to replace missing people and to assure administrators that their jobs were secure as long as they displayed adequate performance.

The uncertain climate within the Community Development Department brought the Project to a standstill in all except one branch of that department. At the request of the City Treasurer, who was now also acting Commissioner of the Community Development Department, Project activities were virtually stopped until such time as a new commissioner and directors were hired. Though the Project would continue in the Finance and Physical Environment Departments a good deal of continuity and co-ordinative potential was lost by the essential withdrawal of Community Development from the Project. The limited impact, which followed from working with only part of the administra-

24 These programs involved subsidized help from senior levels of government for particular types of programs undertaken by local government. Politically such aid was hard to refuse but the added workload played havoc with municipal administrative resources.

25 *The LGMP Experience: Guidelines for Organizational Change in Local Government.*



tion, would become even more evident. In addition, the attitude toward the Project within the City administration in general, was not conducive to the type of interest and involvement required to spread the Project's influence to other departments.

In spite of the missing senior staff, progress in the fourteen branches of the three participating departments was reviewed in this October workshop. As the review progressed, a tabulation was made listing the problems which had been encountered, criticisms of the process, etc. This tabulation of middle and senior management problem areas and complaints showed dissatisfaction, particularly in the Physical Environment Department, with what was considered an overly theoretical approach by the LGMP Team. This was not entirely unexpected in that the management levels in this department covered a broad range of technical functions, and technically oriented managers in all municipalities generally experienced problems in adapting to the administrative requirement of their jobs. Matters such as delegation, teamwork, development of processes, corporate planning, etc. were not directly quantifiable and this seemed to frustrate some managers, who felt that their real responsibilities were service-output oriented and that technical details constituted the only important management problems.

On the other hand, the experience contained an important lesson on effective implementation. To ensure the continuing commitment of all staff members it is necessary to make the process useful to each of them and to establish pay-offs for implementing new techniques as soon as possible. This means concentrating efforts on solutions to current and pressing managerial problems rather than teaching routine objective setting first and concentrating on its application later.

The effective management of time continued to be a major issue. Most important in this area was the budget scheduling. The Commissioner of the Physical Environment Department felt that the Finance Department should consult more with lower level Physical Environment personnel before setting the budget schedule. With greater co-ordination, realistic deadlines would emerge that would save the department from the excessive overtime it accumulated during the budget process.

The director of the Administration Branch of the Community Development Department, had similar comments about the budget. She felt the budget scheduling should be done in consultation with her department in

order to allow for the potential delays and changes in projects which were resulting from the influence of community groups. This type of consultation might help to prevent a yearly frustration that occurred when other pressing business was dropped in order to meet the demands of the budget schedule.<sup>26</sup>

Other issues that were discussed also indicated that there was a serious lack of administrative co-ordination. The Neighbourhood Improvement Program's (NIP), inter-departmental co-ordinating committee, made up of members of a number of departments which were involved in NIP activities, routinely reported all decisions and actions to be taken to individual department heads, rather than to a central top level committee. This process wasted time as minor problems cited by a single department would require long delays due to the necessity to communicate any proposed changes in the committee's recommendations to all departments involved. It was suggested that all committees of this nature should be recognized as sub-committees of the Committee of Department Heads and that they should report directly to that committee, thus streamlining the communication process between departments. Even department heads, however, seemed to lack confidence that the Committee of Department Heads could perform an effective co-ordination and control role.

Senior-level managers complained at length about their time consuming relationship with the elected level, particularly when matters being debated at meetings of the Board of Control or Council required the attendance of a number of branch heads. This was often the case in the Community Development Department where the attendance of the directors of the Planning, Recreation and Parks, and Urban Development Branches would all be required for elaboration on a wide variety of community matters.

The Commissioner of Physical Environment explained how the 1973 restructuring helped alleviate this problem in his department. (The Physical Environment Department had also resulted from the merging of a number of small departments.) Since restructuring, he, personally, had played the role of a 'buffer', getting as much information as possible from his branch heads and, in effect, representing them at Council, thus freeing them for other tasks. He suggested that department heads adopt this stand, explaining to Council, where necessary, the indirect costs involved in requiring too many senior administrators at meetings.

Generally these tri-departmental meetings seemed to fulfill a needed role in inter-departmental communication and some useful ideas emerged and rough plans were made. It seemed, however, that departments and branches went back into their shells following each meeting and the co-ordinative and co-operative atmosphere vanished.

Toward the end of each workshop, department heads had focussed on the need for the participation of other departments in the Project because mutual support services were inadequate. Some particular support needs mentioned were staff development and training policies, improved employee evaluation and appraisal processes and standardized terms of reference for position descriptions. In short the Project, to be effective,

26 Although no immediate steps were taken to correct this, further discussion showed that a good deal of the misunderstanding arose from the Finance Department's belief that the 1976 forecast estimates projected late in 1974 represented sufficiently accurate information to form the basis for the coming budget. A department such as Physical Environment normally experienced so many changes in programs and priorities due to approval delays, changes in decisions at the political level, work scheduling problems and new and expanded programs, that long range forecasting was actually little more than a paper exercise.

Unfortunately, the budget process was only the most visible outcrop of a major malaise at the top administrative level in Ottawa and should in no way be regarded as an implication of managerial ineffectiveness which could be traced to any one department or individual. Committee of Department Heads meetings will be discussed on subsequent pages.



needed the input of all departments in the City.

### **Committee of Department Heads Involvement**

During the initial year of the Project the three participating commissioners had become increasingly aware of the need for the involvement of other departments, particularly Personnel and Executive Services. Participants at the senior management workshops had expressed concern about overall effectiveness in co-ordination, planning, and human resource management. In a number of Project meetings with the commissioners of the Physical Environment and Finance Departments this need was further stressed. The original concern for the improvement of support functions had become more broadly based, however, having to do with the general effectiveness of the Committee of Department Heads and the role the committee was playing in controlling the administration and in supplying advice to Council. Overall leadership, a sense of direction, the need to operate as a senior management group handling City-wide and not just departmental matters, effective co-ordination — all these areas, the Commissioners felt, needed to be addressed by the Committee. It seemed that underlying these concerns, an attitude of isolationism, indifference and possibly distrust had developed among department heads and, as a result, common concerns were being handled by the committee 'at arms length', individually, as suited each commissioner, or sometimes, not at all.<sup>27</sup>

In light of this consensus that other departments should join the Project, the Project Team approached the Committee of Department Heads regarding the potential for such involvement and an explanatory presentation was made on October 6th, during one of the committee's regular meetings.

Since, for some of the commissioners, this was their first exposure to the Project, the purpose of the presentation was three-fold; to explain the Local Government Management Project, to report on its progress, and to indicate what needed to be done to further the role of the LGMP in improving the decision making processes and overall effectiveness at all administrative levels within the City.

As part of a report to the committee, a list of matters requiring the members' consideration was drawn up for discussion purposes. These needs reflected on the role of the committee and emphasized:

- 1 the requirements for inter-departmental co-ordination and co-operation;
- 2 development of consistent administrative policies in a number of areas;
- 3 clarification of the structure, role, and eventually the goals and objectives of the committee; and
- 4 consideration of the development of a set of corporate goals and objectives for the City and consideration of the respective roles of the Council and the committee in the goal and objective setting process.

The report concluded with a request for action on the following set of recommendations:

- 1 that the departments of Personnel, Legal, Executive Services, and the Lansdowne Park Administration

enter the Project, and that they participate in the same pattern of seminars and workshops as were provided for the three participating departments;

- 2 that a November orientation workshop be scheduled, followed at six week intervals by subsequent senior management workshops;
- 3 that the Police and Fire Departments become involved during the years 1976-77, on the same basis; and
- 4 that Council be briefed shortly after the discussion with the Committee.

The meeting, chaired by the Commissioner of the Executive Services Department and attended by the Deputy Mayor, was inconclusive. With only five of the eight departments heads attending, a delayed start and numerous interruptions, progress was limited. The limited discussion amounted to resistance to involvement in the Project on the grounds that it had not proven its value to participating departments. In addition, at least one manager stated that the Project would be imposing a management system upon his own effective system of management and that it would displace the Municipal Maintenance Management System now being used by his staff. The Project Team attempted to remove such misunderstandings of the Project's role, but generally found that the issues raised were merely efforts to prevent Project expansion to other departments and rational arguments were generally useless in combatting such efforts. Furthermore, while the Project Team had expected strong support from participating departments during the presentation, this support did not materialize.

While the meeting ended in indecision it was evident that there were strong unstated reasons for resistance. To resolve questions regarding Project benefits, a report was produced elaborating on the benefits versus the costs of the Project to date. The report suggested two half-day sessions to review the Project in depth. The tentative plan was to hold these sessions away from City Hall and outside the context of the regular committee meeting. This would ensure a more thorough consideration of the Project than was possible at the October 6th meeting. These meetings were scheduled; however, both were postponed by the committee and the first one was subsequently rescheduled for February, 1976. This meeting, too, was subsequently cancelled. Following a joint Council/Administration meeting in February of 1976, discussed elsewhere, and at the urging of Council, the long delayed meeting was held on April 2, 1976.

### **Council Involvement**

Prior to the presentation to the Committee of Department Heads, the only contact with Council had been in

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<sup>27</sup> In an attempt to assist with the functioning of the committee and to develop more of a management team approach, the Mayor had been acting as chairman of the committee meetings. Although this may have improved matters, there was still a feeling that the committee was not functioning to its potential and that improvements gained by this tactic were being offset by the implied relinquishing to the Mayor of committee responsibility. The Mayor was fully aware of this problem but he also recognized the need for some form of central co-ordinator and felt that he might fill that role.



the form of briefing by the Project Leader to the Mayor and Deputy Mayor. Following the presentation and the discussion which took place with the Committee of Department Heads, the Deputy Mayor expressed an interest in learning more about the Project. (The Deputy Mayor had attended the presentation to the committee). After her attendance at the next senior management workshop (October 10) and discussions with the Ottawa Project Leader, the Deputy Mayor suggested a briefing for Council concerning the Project. This coincided with the intention of the Project Directors to provide a progress report to Council within the next six months.

Project plans for actual Council involvement had not been solidified at this point, since the original intention was that Council would not be approached, for actual involvement, until the administration had become thoroughly acquainted with the Project, were using the system of goals and objectives as a part of their normal operations, and had specific ideas in mind as to how they would like to see Council involved. As time went on, however, it became apparent that the Council desired some information and discussion concerning their potential involvement in the Project.<sup>28</sup>

A half-day session on Saturday, February 28, had three primary objectives; to report on Project progress in the participating departments, to familiarize Council with the basic concepts of the LGMP, to suggest and discuss alternative roles Council might play and also to discuss the future of the Project within the administration.

The meeting was informal and was attended by eleven of the fifteen members of Council. After a report on the LGMP, an open discussion and question and answer session was held and ran for well over four hours.

Although numerous questions were discussed, three basic issues dominated the discussion. First of all, the councillors were keenly interested in the attitudes of the participating departments to the program. They wanted to compare the progress in Ottawa to that of other Project Municipalities and so spent some time in pressing the Project Directors for details. The message the Council conveyed by their active questioning was one of genuine concern with the quality of performance and effective operation of the administration. With morale in the administration quite evidently low, the members of Council were open to advice and suggestions as to

means of resolving the present uncertainty. Questions regarding details of progress in the individual departments were answered. There was some concern on the part of councillors that implementation had come to a halt in the Community Development Department. The Project Directors explained that it would be very difficult to introduce a new process in view of the uncertainty that existed in that department. Roles would be uncertain until the missing staff were replaced.

The second issue that concerned the councillors was the lack of involvement in the Project of some departments and the Committee of Department Heads. This discussion was prompted by a comment by one of the Project Directors to the effect that it would be totally unacceptable to introduce a process similar to the LGMP elsewhere without almost total administrative involvement and support. Following a short explanation of some probable reasons why the other departments had chosen not to participate, it soon became clear that most members of Council were eager that non-participating departments become involved.<sup>29</sup> In fact, one alderman considered suggesting a motion to direct the other departments to enter the Project. Restraint was recommended by the Project Directors, however, because an atmosphere of coercion would be unproductive in terms of real management improvement. The discussion concerning departmental involvement naturally extended to questions about the role of the Committee of Department Heads. Reference was made to progress in Senior Management Team development in St. Catharines and the Regional Municipality of Niagara. Contrasting Ottawa to these smaller jurisdictions one of the aldermen suggested that, as a result of Ottawa's size and top management structure, a Chief Administrative Officer was needed.

Of greatest interest to members of Council was the potential role Council might play in the Project. The following modes of potential council involvement, listed in decreasing order of time required on the part of councillors, were presented for Council's later consideration.

- 1 Council, or a committee of council, might go through the entire process of determining both goals and objectives for the municipality. This process may or may not include direct input from the public.
- 2 Administrators might prepare detailed position papers on critical issue areas, e.g. summarizing past decisions of Council and suggesting apparent goals and objectives, based on trends, for Council consideration, revision, and approval (much like London's approach).
- 3 Administrators might determine a comprehensive set of goals and objectives and submit them to Council for consideration, revision and approval.
- 4 Administrators might decide upon areas where policies and direction are required and go to Council with specific requests relating to those areas (similar to St. Catharines' approach).
- 5 As administrators decide upon goals and objectives and go to the Council with requests for approval of recommendations, stated in goal and objective terms, (e.g. in the operating and capital budgets) the

28 This feeling was probably precipitated by the apparent negative effects on administrative morale of the release of the three senior staff members of the Community Development Department. Some members of Council were interested in healing the resulting rifts between themselves and the administration, which were making the conduct of City business difficult.

29 If this account seems to imply blame to non-participating commissioners, that inference is incorrect. The inexperience of the Project Directors, the method of introduction of the Project, the slow progress in participating departments, the low level of general trust within the administration and between administration and Council, the existent insecurity, all may have contributed to a justifiable decision on the part of these commissioners. The points that need to be emphasized, however, are the need for involvement and support of all top administrators in an effective management improvement program and the need for an effective co-ordinating influence so administrators can communicate to each other effectively and can work together in unison on broader corporate problems.



Council is unavoidably involved in the approval of certain goals and objectives for municipal services. The more that alternatives, priorities and definite objectives are included in the submissions to Council, the more Council would be playing a policy-setting and directional role.

A subsequent meeting was scheduled for April to consider these alternatives in more detail and Councillors agreed to emphasize their desire for Project involvement by both the Committee of Department Heads and the non-participating departments.

#### **A Return to the Committee of Department Heads**

Following the positive reception of the LGMP by Council, the long-delayed Committee of Department Heads meeting took place on April 2, 1976. Chaired by the Mayor, the meeting was attended by only four commissioners and three branch directors. This apparent lack of interest on the part of administrators was particularly significant, considering that Council had just expressed a strong interest in greater administrative involvement. Indirectly, it indicated a continuing indifference on the part of certain department heads to what the participating department heads considered to be rather important administrative concerns, and an inability on the part of Council to provide leadership for the administration.

Following an introduction and explanation of the Project to the Mayor, the meeting was opened for discussion. Early in the meeting, the Commissioner of Physical Environment expressed his dissatisfaction with the pace of the process. He felt a good deal of time had been wasted and questioned whether the Project had helped his department to 'waste less time, spend less effort on wrong tasks,' etc.<sup>30</sup> At this point the Mayor gave his first reaction to the Project. It was his feeling that the educational aspect alone was sufficient justification. The Mayor was concerned that some City Hall staff did not devote adequate time to examining what they were doing on their jobs, what they wanted to accomplish and how they could accomplish it more effectively. The Mayor saw the Project as providing the drive necessary to convince the administration of the need for this type of approach.

The Mayor's initial backing of the Project set the tone for the remainder of this meeting. In answer to the Mayor's request for a frank and open discussion, the Project Directors once again outlined areas of concern and Project benefits and potential action that had been highlighted at the October 6th meeting. Again, resistance to the Project was voiced, based on the Project's failure to convince the commissioners of the benefits of the program. In response to one of the more resistant commissioners, the Mayor indicated his feeling that the senior administrators were partly responsible for the low morale of City Hall staff. Citing the lack of initiative and passive resistance to the implementation of the 1972-1973 restructuring of the administration, the lack of an adequate promotional system, and the tendency for commissioners to think only from a narrow departmental perspective, the Mayor said that the Project was useful if it merely maintained its efforts to prod managers into thinking about the effects of their actions or lack of action.

While not completely endorsing the Project, the Mayor indicated that he wanted the Council to become involved. He concluded the meeting by asking the commissioners to state their intentions. All the department heads showed at least a reluctant willingness to participate. A list of recommendations, to be presented for approval on April 5, at a regular meeting of the Committee of Department Heads, was drawn up as follows.

- 1 The Committee of Department Heads, as part of the Local Government Management Project, shall examine its role, assess its own effectiveness, identify City-wide issues and examine alternative policies for submission to Council. To assist the committee, the first such examination should be held with the LGMP Team on a date (not later than the end of April) to be chosen by the committee.
- 2 Heads of departments not yet involved will develop goals and objectives as rapidly as possible and will involve other managers within their departments in goal and objective setting seminars, starting not later than the middle of May.
- 3 The Project Team will continue to work with the three participating departments to implement the goals and objectives review process and to facilitate co-ordination within these departments.
- 4 The Project Team will work with the Committee of Department Heads and the Council to develop a better communications process and determine the degree and nature of Council involvement in the Local Government Management Project at a seminar (date to be chosen by Council) to be held before the end of April.

It is interesting to note that this matter was only cursorily mentioned at the next Committee of Department Heads meeting and for the next month the weekly meetings of the committee ignored the recommendations. Finally in May, over the strong objections of the Commissioner of Physical Environment, the committee agreed to a much different and weaker proposal to be submitted to the Board of Control for approval. The proposal recommended the following:

- 1 that the three departments presently involved in the LGMP continue their involvement;
- 2 that City Council become involved in the Project and that the Queen's University Team prepare a proposed implementation strategy for Council; and
- 3 that, subject to approval of the first two recommendations, a full-time position of Project Manager be created on a contract basis.

This account of the progress of the Project in Ottawa has included more than the usual amount of detail. Ottawa was the only municipality to enter the Project on a partial basis at the administrative level. The difficulties encountered, including those of expanding

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30 Although the Project Team spent a great deal of time in working with the Physical Environment Department, the Project activities and orientation to management did not really meet the commissioner's needs. Both Project Directors experienced a good deal of difficulty in communicating with the Commissioner probably because they had incorrectly analyzed his particular need for a directive system to integrate the diverse functions in his area of responsibility.



from the limited initial base, even with the backing of the Mayor and Council are evident. Effective corporate management requires willing input and involvement of all top administrative staff. If there are not penalties or at least fewer rewards for non-involvement in corporate management, some administrators will take the easy way out. If they wish, they can easily block the efforts of other administrators, particularly in areas requiring joint problem identification and problem solving processes. This includes the whole area of mutual support services.

Councillors, aware of splits in administration, may take sides or, as occurred eventually in Ottawa, just lose interest. Although it appeared in April 1976, that the Project might still become a dynamic integrating force in Ottawa, the lack of either consistent administrative or Council support was to prove fatal. The reasons will be discussed in Part III of this paper.



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## Part II







## An Analysis of Events

In analyzing the effectiveness of the LGMP implementation processes and the type of changes that actually occurred, several things must be kept in mind.

- 1 The LGMP was an experimental project designed to determine what type of process, under what conditions, might be successful in improving local government management. Because the establishment of clear goals and objectives seems so fundamental to effective management, the initial process involved goal and objective training. Since the LGMP was an experiment, a variety of municipal structures and levels of participation were included and municipalities were not necessarily selected just because they appeared to present a high probability of success.

The main criterion for selection, in addition to a variety of structures, was the indication of consistent prior interest in the Project. No effort was made to ensure that all of the prerequisite conditions, outlined in *The LGMP Experience: Phase I*, were present.

- 2 The Project involved a heavy research and writing requirement, which necessarily occupied a good deal of time and which was not regarded as a particularly high priority by the municipalities. Thus, as long as the Queen's Project Team was working with the municipalities, most of their efforts were expended in implementation, and writing and research lagged.
- 3 Financial support for the Project itself, disregarding the costs of printing of publications, was 80% borne by the Province. This meant that the cost for each Project Municipality was relatively small and the Project was not likely to become a contentious issue, or to cause the same demands for benefits to the municipality as a project that was entirely municipally financed.

These three factors had a very great influence on the impact of the LGMP. With regard to the first, the fact that it was an experiment, rather than a consultant study designed to meet specific municipal needs, had a considerable impact on the initial degree of acceptance. Both administrators and councillors asked, quite appropriately, whether or not the processes which were being introduced were really appropriate to their municipality. Even though the LGMP Directors did try to obtain municipal involvement in the design of the Project in each municipality, the original processes introduced were actually relatively inflexible. Thus, effective problem identification and adaptation of processes to meet the major problems that existed in each municipality did not occur. The LGMP staff now conclude that

these are critically important aspects of any management improvement program.

In regard to the second factor, the LGMP Directors, both full time academic staff at a School of Business, were overloaded by the immense time requirement of a Project of this size that involved the management and training of a staff of five people, mutual planning and implementation of Project processes in each of four municipalities, liaison with the Province, the ongoing development of new processes to meet needs that arose, and the keeping of records for compilation of the fairly extensive project publications in the later stages. All of these areas suffered from a degree of neglect most of the time and there is no question that the implementation processes in the municipalities were not as effective as they might have been.

Finally, at least two of the municipalities consistently saw the LGMP as 'the Queen's Project' and accepted no real responsibility for its successes or failures. Their reaction was 'Tell us what to do and we will do it'. This is just not the way management improvement takes place. The managers (councillors and administrators) must be involved in problem identification, in planning, in training and in motivating (reinforcing) subordinates, etc., and they must personally attempt to ensure that the process is successful.

If the municipalities had been investing more money in the Project, it would have been more visible to both administrators and councillors. Then managers would either have been forced to reject it outright or to become involved in trying to ensure its success. In other words, cheap programs are not an effective motivation for management improvement because they do not force managers to take a stand and commit themselves to an attempt to make the new process and techniques successful.

As a result of this intensive long term experiment, the LGMP Team feels justified in drawing some general conclusions that are of some significance to both trainers and managers who propose to introduce new approaches to management in local government.

A major requirement in management and particularly in government is a clear understanding of purpose and roles. Some general conclusions reached by the LGMP staff regarding the contribution of better defined roles and clear direction for efforts are briefly expressed in Section A. The LGMP paper *Corporate Management: Its Role in Local Government* covers this aspect of management in greater detail.



A second factor of general importance to any management improvement program is an understanding of the way in which individual managers learn new techniques and behaviours. Some LGMP conclusions and recommendations are discussed briefly in Section B. These are covered in far greater detail in the LGMP publication *Management Improvement: A Manager's Guide to the Theory and Process of Individual and Organizational Change*.

Given those general conclusions and the preceding discussion of general factors which tended to influence the impact of the LGMP, a number of other factors, that varied with each municipality, also had a good deal of effect upon the changes which occurred. These are identified and discussed in Section C.

## A SOME GENERAL CONCLUSIONS ABOUT LOCAL GOVERNMENT MANAGEMENT

As a result of the LGMP experience in the four Project Municipalities and some additional municipal contacts, the LGMP staff reached some general conclusions regarding local government management. These conclusions have some very significant implications for efforts to improve the effectiveness and efficiency of local government. They will be reviewed rather briefly in this analysis because a full discussion of supporting information and suggested remedial actions would be very lengthy.

### Roles of Local Government

Local governments play both political and service delivery roles for their citizens. The services delivered are those which meet specific needs of the community which cannot be effectively and efficiently fulfilled by private enterprise because:

- 1 it would be necessary to grant monopolies to privately owned institutions if critically important facilities, for instance, transportation or water plants, were privately operated. This might be contrary to the general benefit of the public;
- 2 certain functions such as education and health need a degree of standardization for public protection, mobility and exchange;
- 3 certain relatively disadvantaged people such as the young, the chronically ill, the handicapped and the aged are unable to fend for themselves, and cannot always be effectively cared for by individual or even group efforts within the community; and
- 4 a number of administrative support functions have grown up around the departments which provide a direct service to the public, to staff, house, finance, and equip those service departments, and to otherwise provide needed internal support.

Many of the support functions could possibly be filled by private enterprise but contracting for personnel, legal, equipment pool services, etc. seldom occurs in larger municipalities and private sources might have trouble providing the type of service required.

Although the service roles are important and are frequently recognized as the purpose of local government they could conceivably be filled by private enterprise, once the political decisions regarding level and type of service have been made. The political roles of local

government really represent the reason for its existence as anything more than a maintenance function for the Province. They include:

- 1 resolution of conflict within the municipality by obtaining various viewpoints, making decisions and, where required, by making laws to control or guide behaviour;
- 2 the obtaining of public input to, and public agreement and acceptance of, the need and extent of the need for shared facilities such as transportation, public housing, parks, social service centres, water supplies, etc.;
- 3 ensuring that individual rights are safeguarded while at the same time making decisions and reaching compromises which benefit the community as a whole;
- 4 guarding the rights of minority groups so the majority does not either unconsciously or consciously discriminate against them without cause;
- 5 planning for the future — there is a need for the development of a professional advisory planning function to provide an ongoing sense of direction, regularity and security for citizens; and
- 6 the development of enforcement and protective agencies as direct arms of the political function, so everyone is subject to the same protection and controls, and the exploitation of people by certain segments of the population is limited.

While the roles just identified are generally accepted by students of local government, the LGMP staff did not find that they had been well thought out and understood by all administrators or councillors. In addition, the Project Team reached some conclusions about the ability of local governments to play those roles effectively.

### Ability to Make Political Decisions

Municipal councils are representative governments by nature. As such, they are appropriately structured to play the political role of conflict resolution and coordination, although they have not been given the necessary powers to perform that role in a broader sense. Since they do not have constitutional authority over other boards and commissions in the community and have been delegated very little authority by the Province, their political effectiveness is necessarily constrained.

There is also no doubt that the planning area of local government poses a complex political problem. The introduction of new transportation systems and decisions regarding industrial or commercial development involve both physical service and social considerations. Every major planning decision has to balance environmental considerations, social considerations, and economic considerations. In addition, it usually requires liaison with other levels of government.

Observations during the LGMP strongly confirmed that the necessary information was frequently lacking for political decisions and that frequently whole areas of development requiring major planning and action decisions were avoided. Economic capability had seldom been effectively analyzed, trend analyses of population



growth, industrial growth, etc. were lacking. Studies and surveys to obtain this desirable information would be expensive but the LGMP staff felt that councils seldom exploited a much cheaper source of information which was immediately available, the knowledge and experience of senior administrators and councillors themselves.

In the few instances where joint council/administrative meetings did take place there was a rich and highly useful exchange of information. In addition to the improvement in mutual attitudes that occurred, a good deal of valuable information was exchanged regarding public attitudes and various planning possibilities. The senior administrators, in particular, had a wealth of information about general issues, problems and solutions which did not fall within the area of responsibility of any particular department head.

The Project staff strongly urge municipal councillors to make more use of joint workshops with administrators for both general problem identification and the discussion of specific issues.

### **Ability to Manage the Service Delivery Functions**

#### **1 HIRING AND APPRAISAL BY COUNCIL**

Types of service and service levels, locations of facilities, etc., are political decisions that are made by council, with administrative advice. Council also must make the hiring decisions for top administrators, delegate authority, assign responsibility, determine the rewards for effective performance and replace those who perform ineffectively. By appointing a chief administrator, council can assign the responsibility for all of those activities to that individual, but:

- a council must select the chief administrator very carefully and is still responsible for monitoring and evaluating his performance; and
- b council needs technical advice from most department heads, in addition to the CAO, and certainly should play a part in evaluating and monitoring their performance.

Generally, the LGMP staff feel that councils need help in the area of hiring, appraising performance and in rewarding and reinforcing effective performance. Workshops in this area would be advantageous for councillors and top administrators.

#### **2 CHAIN OF COMMAND**

Professional administrators are hired to operate the service delivery function and to establish the required management system. They should be assigned responsibility for that function and monitored through the chain of command. Where councillors interfere with operational decisions they are contributing to ineffective management by the administration and are frustrating their administrators.

#### **3 INFORMATION ROLE OF ADMINISTRATION**

Administrators also play a role in supplying technical information to council, e.g. financial advisory, personnel advisory, engineering advisory, etc. In addition, administrators are in constant contact with the public. In their public service role they become well acquainted with the political and service delivery needs of the community in both a specific sense (relating to the

specific service they supply) and in a general sense relating to the corporate needs of the community.

This outline of political and service roles of the municipality, and of the council and administration, has been included for a purpose — the LGMP staff feel that the major management problems in local government result from confusion and uncertainty in these areas and from the inability of councils to co-ordinate with their administrators to obtain the best information and make the most appropriate decisions.

### **Administrative Co-ordination**

There is no question that administrative co-ordination is required to:

- 1 set up effective mutual support services and to share facilities and equipment;
- 2 bring together administrative expertise to provide effective and broad ranging advice and recommendations to council; and
- 3 establish a co-ordinated management system, including common filing and communication systems, common data bases and retrieval systems, and to develop common procedures for recommendations to council and for communication with the public.

The Project Staff believe that an administrative co-ordinator, carefully selected and carefully monitored and evaluated by council is the only feasible answer. A committee of department heads working with an executive committee of council, chaired by the mayor, has some potential but would not have the immediate control and reaction capability of a chief administrator.

### **Council's Requirement for Focus**

Council requires well stated recommendations containing alternatives and suggested priorities whenever possible. To establish goals and objectives for the municipality, for example, council really needs to begin with an administrative proposal. Administrators could first canvass councillors or meet with them in a joint workshop to discuss goals and priorities. Then the administrators could draft goals and objectives for council's review, revision and final approval.

Once municipal programs have been established with goals, objectives and performance indicators, the budget should take on a programmed form. Thus council would play a role in approving the goals and objectives for programs and then would be in a better position to set priorities and determine cut-off points at budget time. Unfortunately, most municipalities use the budget as a vehicle for program consideration and approval and the discussion of priorities is rushed and is also directed largely toward financial considerations.

### **Encouragement of Innovation**

Inherent in all of the above is the need to encourage innovative administrative behaviour so council can obtain the benefit of both the capability and the knowledge of their administrative staff. Administrators are notably reticent about making suggestions to council. The general atmosphere in local government is one of reaction to pressure rather than anticipation of needs and the designing of potential programs of action to deal with them.



This is a short summary, stated in a positive manner, of some of the general management needs of local government as perceived by the LGMP staff. More specific references to some of these needs will appear later in this analysis and also will appear in other LGMP publications.

## **B SOME CONCLUSIONS ABOUT MANAGERIAL AND ORGANIZATIONAL CHANGE**

The intense involvement of the members of the Project Team and the Municipal Project Leaders with municipal administrators, who were trying to change their approach to management, led to a number of conclusions about the way in which managers change. These conclusions have a good deal of importance for any program which involves management or organizational change because they conflict, to some extent, with some of the more common beliefs about change.

### **How Does a Manager Learn to Manage?**

As with almost all forms of human social behaviour, management is a learned behaviour. Every person, during his early life, obtains some knowledge and certainly develops some attitudes about people and about the things one does as a manager. When he takes a managerial job he tries to act as he feels a manager should. He obtains feedback from others and also from the results of the people he manages. This feedback may act either to reward and reinforce his behaviour or it may tell him he is doing the wrong thing. If he is rewarded or reinforced in some way he will repeat the behaviour in a similar circumstance. If he perceives a negative reaction he will not repeat the behaviour in similar circumstances. In cases where he receives no understandable feedback, which happens quite often, he will probably assume his action was appropriate and will repeat the behaviour in similar circumstances.

Each individual has a background of somewhat unique experiences which form a basis for his particular interpretation of a situation and his decision regarding the most appropriate managerial behaviour. Thus he will evaluate any given situation in a unique way, and that evaluation will result in somewhat unique action on his part.

Before this discussion turns to an explanation of management improvement it is necessary to make one other important point. There is not necessarily a direct relationship between a manager's behaviour or action as *he* sees it and the actual behaviour which occurs. For instance, consider a manager who distrusts other people, perhaps as a result of harsh experience. He has been elevated to a position where he has a considerable number of staff. As a manager, he realizes that he must assign some responsibility to the members of his staff and delegate some authority. So he assigns a particular job to each member of his staff but insists that they check with him before they make any decisions. Soon he finds that he is overloaded with detail and that he has to continually be providing guidelines in the form of decisions for all his staff. He believes that he is managing his staff, but in reality they are unable to carry out their tasks effectively because he does not trust them and he is really doing most of the work in the unit himself. The feedback he obtains tells him that he cannot keep up with his work, so he asks for more staff. The more staff,

the greater the confusion, and so on. The manager is unable to manage efficiently as a result of his attitude toward people. When he applies his concept of managerial behaviour it does not work but he misinterprets the feedback he obtains. So he believes that he needs more staff.

To try to remedy such problems a management improvement program is introduced. All of the managers are given lectures on delegation. By this time, our particular manager is overworked and overwrought and really does not have time for lectures. However, he attends, and after listening to the lecturer and discussing a case in class, decides to try to delegate more. He assigns a particular task to a subordinate. At first the subordinate enjoys the increased responsibility but then something begins to go wrong. He has to make a decision to reassign some responsibilities and possibly to replace one person. The subordinate is unused to making such decisions and hesitates. The problem becomes more acute and soon comes to the attention of the higher level manager. He takes corrective action but he has also confirmed in his own mind that he cannot delegate to this sub-manager, or perhaps to any sub-manager.

Is the foregoing an unusual set of circumstances? Not at all, it happens all the time.

- 1 The manager has a concept of how to manage, gained through experience or training, or both.
- 2 He tries out his management approach but is not fully aware how his actions are seen by others.
- 3 He obtains feedback which tells him that he has not taken the right action – or has taken the right action.
- 4 He modifies his concepts if he receives negative feedback and takes the action he deems to be appropriate – the circle begins again.

Even when several managers are given the same lectures or training experiences on the subject of management, each of them interprets the concepts he had heard in his own unique way and tries to put those concepts into operation. Thus any form of positive feedback may act to reinforce quite different behaviour for different managers and they will 'learn' to act in different ways. Negative feedback, on the other hand, may result in the rejection of quite different behaviours by different managers. What is important about this is that:

- 1 each manager will learn somewhat different behaviour as the result of a change program. The new techniques will be modified to suit each person's approach to management;
- 2 many managers may never try out anything remotely resembling the recommended process or technique unless they are helped. They may need a good deal of on-the-job coaching and feedback, something which was found to be extremely important during the LGMP.

While all this may seem simple and straightforward it has tremendous implications for management training and development programs, and for managers who are trying to improve their ability to manage. First of all, it means that there is no such thing as teaching managers a



'system' of management, because each person will 'hear' something different, will act in his own unique way and will be positively or negatively rewarded for his behaviour. Thus managers undergoing the same basic training program will learn somewhat different behaviours and those behaviours will be adapted to their own situations.

Of course, senior managers or trainers can act to reward the type of behaviour they think is needed and to discourage behaviour they regard as undesirable. Over a period of time, they can help other managers to develop certain desirable behaviours. This process of trial and feedback may take a long time and the manager's behaviour will still be somewhat unique, as it should be, but he should learn how to put the desired concept into action in his own way and thereby to improve his own management.

If the senior manager or change agent strives for uniformity among managers he is removing both the individuality of the manager and the influence of the special combination of factors which affect a particular manager's results. The manager who had a bad experience with delegating will need a long period of adjustment in which he delegates gradually and is able to teach his subordinates to take responsibility. He will need feedback, probably from his boss or from a trainer, to confirm that he is playing the right managerial role and that he is delegating effectively. In addition he will need to develop a mutual feedback process with his subordinates so they are working toward the same objectives.

These characteristics of management learning processes have several implications for management improvement programs that were reinforced during the LGMP experiment.

- 1 Managers need a clear understanding of their jobs at the outset. When roles are not clear they may set inappropriate objectives and may even be rewarded for the achievement of those objectives. For instance, as indicated above, an overworked department head may set an objective to obtain an assistant to take over some of his duties and eventually attain that objective. What he really needed, however, was to delegate many operational tasks to a lower level. This would have resulted in cost savings and probably in a more highly motivated sub-staff. Unfortunately, it often happens that the individual who increases his own staff is rewarded with a higher salary because he now has increased responsibility.

To clearly define the managerial roles they should play, the managers themselves need to be involved in workshops in the initial stages of the program.

Through group sessions and feedback from other managers and trainers they can obtain a better understanding of their managerial roles. Then working with their sub-staff in problem identification workshops, they can identify management problems within their own units and work with their sub-staff and other managers to cope with those problems.

To the extent that managers are able to identify roles and perform effectively and to obtain positive feedback, they will learn to manage more effectively.

However, they need to be confident that they will not

be criticized for trying out new techniques, and they may need help and support, largely in the form of feedback from senior managers and change agents, to make the required changes.

Problem identification workshops enable the manager to involve his sub-staff in supplying him with feedback on their perceptions of how well the task is being accomplished. By developing ongoing problem identification procedures a manager can gradually modify his own managerial behaviour to attain a better operation where fewer problems emerge.

- 2 Management advisors and senior managers can suggest techniques and approaches which lead to more effective management. As the manager tries these new approaches he will need non-threatening feedback over a period of time until he has adapted the new approach effectively to his own management style and situations. Learning new techniques of management is a step-by-step process in most cases, requiring ongoing feedback over a long period of time.
- 3 The organization must support and reinforce effective and efficient management or managers will be unlikely to make the required effort to improve, particularly for long term programs which require a great deal of effort.
- 4 These beliefs about change have some interesting implications for what has been customarily known as 'resistance to change'. Resistance to change is usually attributed to some type of conscious attempt on the part of an individual to prevent a change from occurring or from a desire to maintain the status quo. There is, however, another possible explanation. Before a manager can learn a particular technique of management, he must be capable of performing the desired activity. As we have already pointed out, even though trainers can describe concepts and the manager can practice those concepts in a classroom setting, this does not necessarily translate into effective performance on the job. In fact, in the LGMP experience, most managers had difficulty translating workshop experiences into active management. Some could quite rapidly adjust the new techniques to fit their own situation and style of management, whereas others had real difficulty in incorporating the new methods into their management behaviour. Some were unquestionably resisting because they feared that some weakness in management would be revealed, but probably a greater number wanted to change and just had a great deal of difficulty in trying out the new methods.

Often managers were not aware of the way that they were managing at present. The responses, 'I'm already doing that', 'We do joint problem identification now', 'We are holding review meetings', 'I obtain constant feedback from my staff', 'My door is always open', were frequently heard and were almost universally inaccurate. Under such circumstances, it was very hard to get managers to try out new methods and behaviours because they were almost completely unaware of the problems occasioned by their present actions. Only feedback sessions with peers and subordinates could supply



the feedback required and the manager had to be psychologically able to accept such feedback.

When higher-level managers have difficulty in changing their own behaviour, this almost universally affects managers at lower levels. If a senior manager cannot provide positive, developmental feedback to his subordinates they, in turn, are not reinforced for effective managerial behaviour and will either revert to former patterns or just will not make an effort to improve.

Contrary to some common beliefs, it appeared to LGMP staff that most municipal administrators were eager to improve their managerial effectiveness if they could perceive some reward for doing so. In many cases, however, administrators needed a great deal of personal support and feedback while they were trying new approaches to management. If they did not receive ongoing help from higher level managers or from trainers to guide them during the change, they often failed to adapt the new methods to suit their needs and retreated to their previous approach to management.

There was a need for both positive feedback and help in adopting new behaviours and the best source of such feedback was higher level managers. When initiative and effective managerial behaviour were reinforced, most managers were willing and able to change their approaches to management. The exceptions were those managers, mentioned above, who were not in touch with their present managerial behaviour and who were unable or unwilling to try out new procedures.

During the change process itself, managers require:

- 1 a model of the desired process, usually through examples supplied by a trainer or, even better, a senior manager;
- 2 an opportunity to try the process out in a non-threatening setting such as a simulation laboratory or classroom;
- 3 incentives for trying it out on the job and immediate and ongoing, non-threatening feedback to help them to adjust (the managers should be under pressure to produce or perform effectively but should not be under pressure to adopt a particular new technique without a chance to try it out and adapt to it gradually); and
- 4 to acknowledge the fact that each manager needs to adapt the technique to suit his own situation and management style and that the change will occur gradually as he receives feedback from trainers, senior managers, peers and even subordinates.

These conclusions about managerial change are discussed in a great deal more detail in the LGMP paper *Management Improvement: A Manager's Guide to the Theory and Process of Individual and Organizational Change*.

## C FACTORS SPECIFIC TO THE LGMP THAT INFLUENCED THE EXTENT OF MANAGEMENT IMPROVEMENT

In the preceding sections the discussion has concentrated upon conclusions from the LGMP experience that have general relevance for management improvement endeavours in any local government context.

The conclusions in this section are more specifically related to the type of program which was attempted and to the particular characteristics of the municipalities which were involved. These conclusions involve more specific program and municipal characteristics. They include observations regarding:

- 1 the influence of a number of municipal conditions upon both the type of Project that evolved and the apparent successes and failures of the processes introduced during the LGMP. The municipal conditions that seemed to be most important included:
  - a the initial motivation for joining the Project;
  - b the amount of council and administrative support;
  - c the requirement for municipal ownership of a program;
  - d the influence of municipal structure;
  - e the extent of management sophistication;
  - f the municipal climate;
  - g the influence of technology; and
  - h the financial capability of the municipality;
- 2 the appropriateness of the management processes that were introduced, and of the way in which they were introduced, for effective management improvement. Some recommendations for major management improvement projects in the future emerge from this discussion,
- 3 the roles of councillors, administrators and internal and external consultants in a process of managerial improvement in local government. Personality and personal motives for management improvement have a highly significant impact on implementation and this will also be discussed in this subsection;
- 4 the probable influence of municipal size upon the type of management improvement projects which are feasible.

### 1 The Influence of Municipal Conditions

#### a THE INITIAL MOTIVATION

The earlier accounts of events in each municipality have indicated why and how each municipality became involved. In this section an attempt will be made to examine the impact of those initial motives as they seemed to exist in the municipality as a whole and also as they appeared to influence the behaviour of individual managers.

First of all, it is quite obviously wrong to suggest that a municipality became involved in the LGMP because of any motive or reason that was general to all councillors and administrators. Municipalities may have become part of the LGMP because one or two senior people saw a need, whereas other administrators and councillors, as individuals, became involved in its processes for different reasons. This distinction is an important one in analyzing and in forecasting the impact of any management improvement program. The City of London joined the Project because the Mayor and Council had an interest in establishing goals and objectives for the City and because the incumbent Chief Administrator, who was about to retire, felt that the City needed to improve its management capability. During the ap-



proval process, the Mayor and Council were told by the LGMP Directors that:

- i the Directors' intention was to begin the Project at the administrative rather than at the corporate or council level; and
- ii program budgeting, which some councillors desired, was a complex process that had to be introduced gradually through a staged series of processes, such as those being introduced by the LGMP, and that council would be involved after the administration had developed some expertise in goal and objective setting.

Thus, Council quickly became less interested in the Project and some of the driving force behind the municipal effort was attenuated.

As the Project was approved, the original Chief Administrator retired and a new one was hired and was given a stronger mandate by Council. The new CAO and Council obtained the services of a consultant group to examine the administrative structure of the municipality and the implementation of LGMP processes was delayed by six months. In fact, the new CAO had inherited the LGMP and certainly saw it in a different light than his predecessor. The top administrative staff were unquestionably shaken by the general reorganization that resulted from the consultant's study. There had not been time for trust to develop between the Chief Administrator and his department heads, two of whom had also been candidates for the Chief Administrator position, and some distrust existed as a result. To put it bluntly, the motivation for City involvement in the LGMP had changed drastically. Few, if any, top administrators were personally prepared to commit themselves to the strong support of an externally based management improvement program in such an uncertain climate. This included the new CAO who was bound to be somewhat concerned and uncertain with a management improvement project which he had not initiated, introduced by Project Directors he did not know.

This discussion of original motives could be pursued, but little would be gained as a result. The history of events has been written in such a way as to indicate some of the probable motives the four municipalities had for joining the Project, and also the motives for getting involved on the part of individual managers. What is more important, of course, is the type of motivation that needs to be developed during the implementation to create a potential for the success of a management improvement project, both from the municipal and from the individual managers' perspectives.

- i The Requirement For the Development of a Shared Desire For Management Improvement

The LGMP experience confirmed<sup>1</sup> that there had to be a deeply felt desire for management improvement in a municipality before such a program could have any real possibility. In the initial stages, this type of felt need was not general among the managers in any Project Municipality. When it did exist it was not negatively related to the present quality of management; in fact, it often emerged among managers who were already operating quite effectively. During the implementation process it became apparent that not only was a desire for im-

provement necessary, but the perceived need had to be similar among a number of senior administrators and they had to be prepared to co-ordinate and co-operate during the improvement process. This became evident in those cases where managers attended LGMP and other workshops and then tried to apply the ideas that they felt were most important to their own departments. In such cases, the department might develop improved management processes but the departmental personnel were frequently frustrated when they identified problems which could only be solved through working with other departments.

In Ottawa and Regional Niagara, department heads were generally limited to the intra-departmental use of LGMP processes because there was no central focus upon the improvement of corporate management. In St. Catharines that central focus was important from the outset although, even there, co-ordinated and co-operative projects were slow to emerge. In London, the Chief Administrator encouraged a corporate focus but a number of factors, previously mentioned, interfered.

- ii Motives of Administrators

This need for a shared desire for improvement does not mean that the motives of individual administrators need to be identical. In fact, of course, motives will differ both with personality and circumstances. If a change process is to have any real chance of success, it must either meet the needs of the managers involved or create a new perspective on the part of the managers so they see the need of particular management improvement initiatives.

For example, many managers enter management by objectives programs because they desire a better means of controlling subordinates. An effective MBO system will supply that control indirectly through teamwork, explicit objectives, improved communication, etc. Unfortunately, the manager who desires control may destroy the effectiveness of an MBO system by dictating objectives to subordinates and by using sub-managers' objectives as a method of direct control over their performance. Thus an MBO system may achieve pay-off for a manager, but only if he is able to delegate and to let his sub-staff become involved in making their own decisions and in establishing their own objectives to some degree.

- iii The Need For a Corporate Base

Inherent in the previous discussion is the implication that the motivation for any major management improvement program must be corporately based, which means that it must involve a desire to improve the general management of the municipality and must have the support of a number of prominent administrators and councillors. The LGMP experiment in Ottawa indicated that a corporate focus and strong support from a number of administrators is important. Even though

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1 The prerequisites for organizational change are discussed in *The LGMP Experience: Phase I* and in *The LGMP Experience: Guidelines for Organizational Change in Local Government*, Paper 2. The LGMP staff have concluded that a shared desire for management improvement is unlikely to exist until implementation begins and that developing a common drive for improvement is an important first step.



the three departments involved comprised over three quarters of the municipal staff, the need for support department involvement and inter-departmental communication became obvious. Each of the three department heads had his own distinct reason for advocating that Ottawa join the LGMP and each, partially through necessity, went his own way to a large extent during the Project. While LGMP concepts and, to some extent training, played some role in management improvement in the three departments, no real progress was possible without interaction, co-ordination and communication at the corporate level in dealing with broader City management problems. Ideally, this meant a need for the involvement of all department heads and at least required high levels of co-ordination and co-operation between the three that were involved.

In both Ottawa and London, it became apparent that effective corporate input from administrators was dependent upon feelings of security and mutual trust. In Ottawa the Community Development Department was in a state of upheaval and confusion throughout most of the Project as a result of forced changes at the top management level. Some fear of further changes in staff had generated to other administrators and the LGMP itself was seen as a threat by some people. This insecurity and distrust practically eliminated any possibility of progress toward anything remotely resembling corporate management. This was unfortunate because the LGMP staff feel that the type of management improvement program that seems most applicable and appropriate to local government must be one that acts to integrate departments in dealing with broad based problems, and that can help administrators in developing mutual efforts to allocate resources and to provide composite recommendations to council.

In London, concerns about the new CAO, the new structure, etc. worked against the corporate goals of the Project and the climate (distinctly competitive) was not conducive to corporate management. There seemed to be little incentive for co-operation and departments remained aloof as a result.

In Regional Niagara, on the other hand, the Project resulted in the regeneration of a Committee of Department Heads which began to take a corporate perspective to some extent. This may have resulted in part from the opposition to the Region among area municipalities which acted as a unifying force for Regional staff. The strong committee system which existed there seemed to work against any corporate initiative by the administration, however. The Committee of Department Heads could serve only as a means of inter-departmental communication. It was too weak and there was no mechanism whereby it could act as a body that could make corporate recommendations to council or that could even act to resolve the management deficiencies in the overall administrative operation.

The only municipality that was able to develop a corporate perspective at the administrative level and also, to an extent, at the council level was the City of St. Catharines. The CAO there encouraged — almost insisted upon — the operation of a senior management team consisting of all department heads. This team was involved, from the outset, in making decisions regard-

ing the subsequent course of the LGMP. The Queen's Project Director played an advisory and facilitating role, trying to bring potential conflicts into the open and trying to encourage department head input to the senior management team. Gradually the level of participation of department heads in corporate decisions increased and the advice and recommendations to council were much better considered and were made with the knowledge and support of all departments. The CAO and major department heads were interested in improving management from the outset. They did not accept Project Team suggestions without debate and thus the eventual decisions which emerged regarding the LGMP were corporate decisions in the true sense.

It appears, therefore, that the incentives which lead to effective corporate management at the administrative level can emerge from several sources. Ideally the mayor and council will place emphasis upon administrative co-operation, co-ordination, composite recommendations to council and the development of effective mutual support services. This is certainly the best incentive because it means that council is playing its top management role and rewarding effective administrative behaviour. Other incentives include the commitment of the CAO to the development of an administrative team which can serve a corporate management function at the administrative level. From the LGMP experience it appeared that a CAO working without council support for administrative co-ordination, or without the support of a number of influential administrators, could do little to improve city management. In the long run he could work toward the development of administrative support, council support, or both but until he had obtained that support he could really do little to improve the operation of the corporation as a whole. On the other hand, by working with specific department heads, on a one-to-one basis, he could pressure them to improve the public service or support services they provided.

#### **b THE AMOUNT OF COUNCIL AND ADMINISTRATIVE SUPPORT**

To an extent, this factor was covered in the discussion of initial motivation but some additional points need emphasis.

Very early in the Project the Project Team and some of the internal Project Leaders discovered what it was like to suddenly find themselves without the expected support of senior administrators. Time, effort and the willingness to take personal risks identified the division between those with a real interest in the Project and those who were involved for cosmetic purposes only, or who were simply not committed to the Project's success. It soon became apparent that many administrators attended Project planning meetings because they felt their attendance was expected and they accepted the LGMP because they felt that was the desire of the council or other senior administrators.

Obviously the effectiveness of a complex Project such as the LGMP was limited by such partial support. The administrators who were really interested in management improvement were those who fought hardest at the Project planning and training sessions when they disagreed with the practicality or feasibility of the LGMP



approach. Probably the most outspoken and controversial orientation and initial training meetings of all took place in St. Catharines. It later proved to be those managers who fought hardest and had the greatest influence on the shaping of the Project in that city, who were the greatest Project supporters in the long run.

On the other hand, managers in some other cities were overly concerned with terminology such as the meaning of 'goals' and 'objectives' and seemingly unconcerned with the true aims of the Project. As the Project Team soon discovered, arguments about terminology were often only delaying and confounding tactics and they indicated a lack of understanding of the Project, or a lack of interest, or both.

To some extent at least, the Project Team was guilty of what seems to be a very common error in implementing management changes. They tended to assume that because many top administrators, who had been involved in early project discussions and briefings, had approved the municipality's involvement in the LGMP, the same degree of understanding and acceptance would be present at other levels. Nothing could be further from the truth. As emphasized in the discussion of individual change in Section B managers are not able to change their style of management simply because they are told that they should. Changes in management style and content require basic changes in attitudes and behaviour and they are slow and hard to implement. In fact, every manager has to adapt the new techniques to suit his own approach to management. Thus, he needs to be involved in the implementation, to accept the fact that there is a reason to change, to feel that the change being implemented has the potential for personal and/or organizational pay-off and to be recognized and reinforced for his efforts. Support that exists only at top levels will lead to superficial, mechanistic changes at other levels unless managers at those levels become involved, try the process and receive constructive feedback.

Those managers who had sufficient motivation kept working with the Project Team and/or the municipal Project Leader until the problems of adapting the program to their approach to management were resolved. Managers who were not personally motivated and who could not see clear advantages to the suggested program, did not become involved in planning the process for that reason. Usually that meant that the people who worked for those managers did not become involved either, but that was not always the case. Occasionally subordinate managers, particularly at the division head level, would see some potential pay-off to the program, would become involved themselves and would also involve their staff. In such cases the department heads might eventually become actively involved or they might merely let their staff go ahead and take action, with their approval but not with their active help.

The best results were achieved where department heads became involved in a new managerial process, e.g. problem identification, goal and objective setting and/or information handling improvement, and then decided to personally encourage and work with their staff to adapt the same processes to their needs. Internal and external trainers obtained co-operation and, often, re-

quests for their advice and help from such managers. When the senior manager developed team reviews with his junior managers, the departmental atmosphere seemed to improve and progress in the development of new procedures and mutual support services proceeded apace.

Solid council support is required for any program which involves council's operation or the council/administration interface. Council support is helpful for the initiation of any administrative management improvement program, particularly in encouraging higher level administrators to at least make an effort to get involved. A successful management improvement program requires acceptance and a great deal of long term effort on the part of all the managers involved, however, and council backing is not, by itself, a sufficient contribution to ensure success.

#### C THE REQUIREMENT THAT THE PROJECT OR PROGRAM IS MUNICIPALLY OWNED

Unless the council and/or administration (preferably both) accept ownership of a management improvement program its potential for success is minimal. This means the involvement of councillors and administrators in problem identification first, then in planning to adapt the program to municipal needs, and finally in consistent support and involvement during implementation. It means staying with the program and modifying it when it does not seem to be meeting the particular needs of the municipality.

It is not only top managers in a municipality who need to feel ownership for the program, it also needs to be 'owned' by each manager who subsequently becomes involved. To accomplish this, programs must be adapted to meet the needs of individual managers since styles, management conditions, technology, etc. differ among managers and in different parts of the organization.

Pay-off is not possible unless the program meets the urgent managerial needs of different managers and this means managers must be involved in problem identification, planning and implementation at each subsequent level. Essentially they own and guide the program within their own areas of responsibility.

What this means, of course, is that very different management improvement programs will evolve in each municipality, as they did in the case of the LGMP, and in each department and subunit to some extent. Thus the program should be adapted to meet the needs of managers.

Certain aspects of a management improvement program need to be universal within a municipality so that communication is possible between departments. Information storage, retrieval and processing systems and filing and communication methods should also be common among the different units. Otherwise, duplication of equipment, files, etc. will occur.

Some commonality in the use of program related terminology is also necessary, so that support and operational departments can work together to determine objectives for support services and so departments can co-operate in corporate planning and management. In-



creasingly the issues that face local government cross traditional departmental lines and require recommendations and advice to council from a corporate administrative group.

#### d THE INFLUENCE OF MUNICIPAL STRUCTURE

Closely related to a commonly recognized need for management improvement and consistent council and administrative support, is the need for some degree of centralized decision making. The chief administrators in two of the Project Municipalities acted as co-ordinators for the administration in decisions related to the Project. In two municipalities, the municipal Project Leader performed the role of integrator. In one of these cases the Project Leader had the support of a task group containing four councillors; in the other the Project Leader alone had to play the role of co-ordinator.

#### i The Need For a Co-ordinator

From these varied experiences one solid and important conclusion is apparent. No matter how strong or able a facilitator or trainer is, he cannot play the role of a project director. The LGMP staff would argue strongly that a central co-ordinator (chief administrator) is almost a necessity both for effective management and for the success of any major management improvement program in any sizable (over 50,000) municipality. Committees of department heads are unable to make hard allocation decisions or to assign responsibility to the members of the committee. In the case of management improvement projects, they are unable to pinpoint areas where improvement is required because they may be seen to be attacking peers, and they are not motivated to exert a great deal of effort to deal with corporate management requirements that fall outside the responsibilities of particular department heads. Support service problems are generally inadequately handled, communication and information systems are faulty and duplication of equipment and data are common problems unless there is a strong central co-ordinator to deal with such problems.

In all these areas, it appears that a chief administrator can play an important role in local government. This does not suggest that a CAO should be autocratic and controlling, in fact, just the opposite. He should be an integrator, bringing together the specialized talents of his administrators, so they can deal with corporate issues, develop mutual support programs and identify and offer solutions for municipal problems. The primary strength of a CAO is his capacity to act as a central focus, as someone who is concerned with the management of the municipality as a whole.

Any person or committee playing an integrating role requires a power base. A chief administrator, for instance, is unable to act as an integrator unless he has the power to bring his department heads together. To many this may appear to be a naive statement because it appears that the power is inherent in the position. In local government or elsewhere, that is not necessarily the case. Many department heads may have a good deal of influence with council, with the public, and occasionally with other department heads. Even if they don't have personal power they can remain passive and withhold their contribution to corporate discussions,

thereby defeating the purpose of corporate management.

The real power of a chief administrator can come from several sources:

- I his personal position power as the individual designated by council to control the administrative operation of the municipality with the solid support of most councillors;
- II a power base built on trade-offs, behind the scenes manipulation, private meeting, committee control, etc. This type of power is more typical of that exercised by an elected chairman, a mayor, or an influential member of council, but a chief administrator can also use these methods. The weaknesses are obvious, of course. Truly corporate decisions do not result because conflicts are neither fully identified nor fully resolved;
- III a committee of department heads, each of whom finds personal satisfaction and organizational pay-off from co-operation and co-ordination, in terms of effectiveness, mutual support services, etc. This is the ideal form of support for a CAO, but will seldom occur without the expressed support of council as well;
- IV the power of administrative and behavioural expertise on the part of the CAO resulting in the personal respect of his department heads. This again, is an effective source of power and, combined with 'III' above, probably provides the best available power base for a CAO in terms of his ability to improve organizational effectiveness.

In the LGMP experience, none of the councils were providing incentives for corporate management initiatives on the part of their administrators and there was little apparent pressure within councils to provide such incentives, at least until very late in the Project.

If corporate direction had been available from council, the LGMP would have consisted mainly of an effort to help municipal administrators to develop a clear understanding of their own roles, and to deal with the allocation of authority and development of co-ordinative procedures and techniques within the administration. As already explained, only one municipality really developed anything approaching corporate management through the development of an effective senior management team, working in conjunction with a CAO, and discussing and making recommendations to council on corporate issues. In this municipality, and in another, where the Project Leader stimulated corporate thinking through the development of joint planning and the improvement of support services, corporate mechanisms were being developed throughout the administration.

In the City of St. Catharines, although corporate goals and broad objectives were not established, council/administration workshops resulted in the joint resolution of issues and problem areas so the administration at least had some guidelines supplied by council.

#### ii The Need For an Executive Committee

The LGMP staff also feel that some form of corporate focus is required within the council. Whereas there has been a trend toward the discontinuation of boards of



control and central executive committees, the LGMP staff believe that there is a need for a focal body to formulate executive recommendations for council action. Councils are often unwieldy bodies unless their attention is focused on a definite recommendation or set of alternatives. They lack sufficient common focus to originate and agree upon definitive recommendations. They can make decisions only when the alternatives are fairly obvious and a deciding vote is possible.

An executive committee can play a focusing and clarifying role for council. Of course, the power of final approval must lie with council and the committee can only make recommendations and clarify issues.

#### e THE EXTENT OF MANAGEMENT SOPHISTICATION

The extent of management sophistication is a very important variable influencing both the type of management improvement program and the speed of progress in implementation. There has been a general tendency among municipal administrators to differentiate between the function of an administrator and the function of a manager. Such people view an administrative role as a relatively passive monitoring role, whereas a managerial role is defined as a decision-making role. Those who make this discrimination between manager and administrator view the municipal council's role as that of local government management. During the LGMP, several councillors echoed the same sentiments, indicating their feeling that administrators should not make decisions.

The LGMP staff agree that the council must manage the municipality in a political sense, which includes determination of the extent of the service to be delivered. It is very evident, however, that councils are not equipped, either through experience or through education to handle the management of a rather complex service delivery function. Administrators are hired to fulfill those operational management roles. In fact, councillors require a good deal of information in order to play their political and top level service delivery management role effectively and much of that information should come from the administration. Unfortunately, councillors have not utilized that source of information effectively. Although the need to differentiate between an administrative function and a management function is rejected by the LGMP staff, it is recognized that this type of differentiation still has a major influence upon the attitude and behaviour of many municipal administrators.

Many administrators do not understand management and have little interest in learning. Social Service administrators see themselves as social workers; planning administrators believe that their only reason for existence is the fulfillment of the planning role, and engineering supervisors, even division and department heads of large departments, see themselves as engineering experts. Where these professionals have no managerial role (meaning no one reporting to them), this concentration on the 'technical' aspects of the job is necessary. When they are promoted to a supervisory position, however, they become managers of other technical experts and employees, and the managerial role becomes paramount.

Thus, when a management improvement project encounters managers who do not regard themselves as managers, who have not considered the various aspects of a managerial role, and yet who supervise an area of responsibility containing hundreds or even thousands of people, it is evident that the management improvement process needs to begin at a very basic level.

This in fact was the case, particularly with regard to social services, planning, legal, city clerk's, and sometimes engineering and finance functions. Many managers needed basic training to gain an understanding and appreciation of the content of a manager's job. They needed some help with delegation, they needed help in giving staff and employees feedback and direction, in helping them to fill useful organizational roles, *and they needed all of this before they could set objectives for their jobs, otherwise the objectives they set were inappropriate, inadequate and sometimes dysfunctional.*

Frequently, municipal administrators would ask the question, 'Why do we need management improvement?' The answer from the LGMP experience is loud and clear; *'Because you are in a managerial position, being paid to manage a large number of people in providing a service and many of you are still thinking of yourselves as monitoring administrators and/or technicians. To put it simply, many of you are not performing some of your managerial functions because you do not understand the requirements of a manager's job'.*

It does not seem either feasible or necessary to go into a detailed discussion of the functions of a manager in this paper. It seems wise, however, to emphasize, once again, the fact that managerial improvement in local government, involving the determination of goals and objectives, whether it is under the title of goal and objective setting, MBO, PPBS, or zero based budgeting, will not be effective until municipal administrators accept their basic roles as managers and gain an understanding of what management entails. Two LGMP publications should be helpful in this respect.

In *The LGMP Experience: Guidelines for Organizational Change in Local Government*, a potential training program for local government administrators is discussed in Paper #6. In *Improving Managerial Performance: The Contribution of Performance and Productivity Measurement*, methods of measuring the effectiveness of managerial processes are discussed. A review of both of these papers is suggested.

#### f THE MUNICIPAL CLIMATE

The appropriate type of management improvement program and the potential of that program for success, is largely dependent upon the work environment in the municipality at the outset. The feeling between employees and managers, between managers at different levels, the extent of trust, co-operation and co-ordination and the degree of task versus personal survival orientation are critical factors in the operation of any organization.

If there is distrust among managers and between managers and employees, management improvement programs must begin by attempting to create an atmosphere of trust and by developing a co-operative orientation. Generally, the LGMP found high levels of trust and



co-operation at junior levels of local government management where the technical aspects of the work were accomplished. It was at the higher levels, within council, between council and administration and among top administrators, that the main problems existed. The need for a corporate orientation to meet the management challenges facing local government has already been emphasized as has the traditional departmental orientation of municipal administrators which interferes with corporate effectiveness. Where distrust and competition for resources is a prominent feature of a local government climate, these must be dealt with early in a management improvement program.

The LGMP found that joint problem identification meetings, city-wide task groups (such as those being developed in the City of London), supervisor and staff problem identification sessions (involving decision-making where appropriate), were excellent methods of breaking down barriers and of developing a co-operative task-oriented approach on the part of both junior and senior staff. Much of the secret lay in improving the effectiveness of communication, which meant, largely, in making an effort to ensure that others were informed, particularly sub-staff, of anything happening within the organization that might be relevant to them. It also involved insuring that sub-staff had an opportunity to identify areas where improvements were possible and also to contribute to decisions where their input was considered relevant.

The adoption of new approaches to management involves a degree of risk. Unless upper levels of management are trusted, lower level managers will not take those risks. The first step is to ensure that the organizational climate is conducive to a certain degree of innovation and risk-taking and then to supply effective feedback to people as they begin to become more involved.

#### g THE INFLUENCE OF TECHNOLOGY

The technological aspects of a task have a major influence upon the type of information managers require and the way in which they carry out their jobs. Engineers, for example, are providing hard services to the public and need public feedback regarding both the level and the technical quality of those services. For the most part engineering services are concrete and measurable. The public is usually able to provide meaningful feedback. A major managerial problem encountered with engineers was their tendency to attempt to treat personnel and motivational matters in the same way as technical matters – as concrete engineering problems that could be resolved by a mechanical solution. The non-technical aspects of management, of course, require an appreciation of the people involved and their perceptions, feelings, motives, abilities, etc. ‘Logical’ solutions for people problems include those considerations. To technically oriented people such as engineers, accountants, planners and data processing professionals, human factors merely get in the way of effective management. There is a common belief that managers who are concerned with feelings, perceptions, and attitudes of subordinates are ‘soft’ managers and perhaps this impression has been reinforced by human relations training programs. In any event, managers who use all the information at their disposal to attain

higher levels of productivity are considerate managers but they are hardly ‘soft’ managers. The need for management education and appropriate managerial orientation to overcome this misconception has already been discussed.

Support departments have their own role-related problems. They require feedback from the departments they service. They also require an opportunity to indicate what they can do and what services they are capable of supplying. Inter-departmental communication is important to support departments, particularly departments such as Personnel that have an advisory role to play. The effectiveness of a personnel department really depends upon its ability to influence and to help other managers to become more effective. Thus effective management in a support or advisory role such as those performed by legal, personnel, data processing and financial management departments, for example, is quite a different proposition than effective management in a direct service context.

In most cases, the LGMP staff found themselves helping line departments to redefine their needs for support services and helping support departments to define their roles. In some cases personnel departments and finance departments were actually playing control, rather than support and advisory roles. Essentially they were performing a control role for council that council was unable to handle effectively because there were no firm objectives and performance indicators for senior administrators. The LGMP actually constituted a threat to the existing power of such support departments by emphasizing the need for clearly defined support services. Thus support department heads, in several cases, were not eager to get involved in spite of the clearly indicated desire for support services by those departments supplying services to the public.

#### h THE FINANCIAL CAPABILITY OF THE MUNICIPALITY

The financial capability of the municipality, and the highly related amount of available management time and internal expertise, is an important factor effecting the rate of management improvement. Whether or not the development of common filing systems, the improvement of individual managers’ use of information, the effectiveness of their management, and the development of corporate management expertise can all be tackled at once, will be highly dependent upon the management resources, expertise and finances available.

In almost all cases, municipalities were unprepared and generally unable to undertake rapid large scale changes in their management systems. While the LGMP staff concurred with the concept of gradual or staged changes, they did perceive a need for a municipality to plan carefully for a large-scale management improvement program. Such a plan could give managers an overview of the things which had to be done and of the desired end result. They could then select the highest priority improvements for immediate emphasis, meanwhile ensuring that each incremental step fitted into the overall pattern.



## 2 The Appropriateness of the Management Processes That Were Introduced

The LGMP, as indicated in *The LGMP Experience: Phase I*, focussed initially on management training in goal and objective setting. It had been anticipated that as managerial needs were identified, the administrators would set objectives both individually and jointly, that would result in the development and implementation of other forms of management improvement. To attempt to improve inter-departmental communication and to at least get administrators thinking in corporate terms, goal and objective training was introduced to senior administrators first and the importance of both corporate and strategic goals was emphasized.

In attempting to introduce management change and improvement in this way the LGMP Team encountered several difficulties.

- a While the initial assumption, that goals and objectives and inter-departmental integration were required for effective local government management was correct, more fundamental management training was necessary in many cases. For administrators who did not basically view themselves as managers, a fundamental introduction to management was necessary before they could even set appropriate goals and objectives let alone visualize a comprehensive set of management goals or key result areas. Unless such general management requirements are understood, inappropriate targets or objectives will result.
- b The LGMP initial briefings stressed the importance of corporate and strategic goals and objectives. Corporate goals and objectives, however, can only be determined or, at least, approved by council and councils were not actively involved in the LGMP. Strategic goals and objectives were even more remote in that they required a consensus which did not exist among boards and agencies in the community. Department heads, in particular, recognized the need for corporate goals and objectives because they were suffering from lack of direction. They were not so aware, however, of their own basic need for management training, definition of roles, goals and objectives and other forms of management improvement within their own departments.

The LGMP staff from the outset had been aware that initial administrative training in goals and objectives was advisable so administrators could aid councillors in developing corporate goals and objectives. However, they were not aware of the very basic design and initiation role which they are now convinced municipal administrators must play in the development of corporate goals and objectives. By holding out the corporate goal 'carrot' to administrators without recognizing its implications, the LGMP staff created aspirations that could not be fulfilled until municipal administrators were working together and were thinking in corporate terms. Unless councillors recognized the need for corporate advice from a team of top administrators and encouraged administrators to provide that advice, there was little or no incentive for administrators to

change from their traditional departmental orientation.

Corporate minded chief administrators in both London and St. Catharines encouraged corporate thinking and recommendations on the part of their department heads. In the other two municipalities, where there was no CAO, no strong integrating force was present. Thus, there was insufficient incentive for administrators to devote the time required to the development of the corporate management processes that were necessary at their level, so they could supply council with tentative corporate goals and objectives for consideration, revision and approval.

- c In common with other change agents and trainers, the LGMP staff displayed what is now felt to be a basic misunderstanding of the human learning process. They tried to achieve changes in the style and content of management through workshops on goal and objective setting. The concept of an organization operating with overall goals and objectives and with hierarchical goals and objectives at each level is theoretically very attractive. In practice, however, that concept is very difficult to apply and in working closely with managers it became clear that they learned to set goals and objectives and to make other management changes on a type of trial-and-error basis. They establish some tentative goals and objectives, try them out, and get feedback from a training advisor, a senior manager, or simply from the results achieved. Using that feedback they can revise their goal and objective setting procedures to suit their special circumstances.

The process of learning new techniques of management is slow and it evolves gradually, adapting previous management practices to incorporate the new management techniques in a way that fits the manager's approach, the task and the situation. Thus managers need ongoing guidance and feedback and trainers and senior managers must be prepared to accept individual differences in the adoption of any new management technique. Essentially the manager tries the new techniques in his own way and receives feedback which helps him to make his efforts more effective.

- d The LGMP staff naively assumed that managers would automatically desire management improvement.

There are a number of factors which influence each individual manager's desire to change and to adopt new methods.

- i A manager must accept the method as viable before he begins to experiment with its use. Many of the 'management improvements' that consultants and senior managers attempt to promote are of questionable reliability and validity. Thus the manager, quite rightly, will question the approach and will only experiment to the extent that he feels it is viable. Sometimes, of course, management improvement exercises are gimmicks designed to contribute to the prestige of a senior manager or the financial status of a consultant. Managers in higher level governments, in particular, have seen many attempts at management improvement come and



go, and they need to be thoroughly convinced, through actual involvement in planning and implementation, that the present version has some validity. Open resistance can, of course, lead to conflict with senior managers who are strong proponents of the new process; therefore, passive resistance or, more likely inactive compliance, are the responses most frequently chosen. Actually, the individuals responsible for implementing a management improvement program should be thankful for open resistance if they are truly interested in helping managers to improve. Open resistance, as mentioned in the account of St. Catharines' experience, identifies the reservations and often indicates a willingness to take risks in doing what the manager feels is the right thing. Of course, when a manager is obviously resisting because he is afraid of change and is not prepared to make the required effort, his value to the organization must be judged in terms of his current productivity and his general contribution to the organization. If both of those are satisfactory, then his resistance is not a serious problem and he can retain his present mode of management.

- ii There are probably few, if any, managers who do not wish to do a good job and to improve if they feel that the potential for improvement exists. They may not, however, be prepared for the amount of effort required and the slow and tedious development of a program of management improvement.
- iii A manager must see some potential reward for making a change, either to himself or the organization. This is one reason why upper level management involvement and support is so important. If the individual's superior sees the program as important, the potential for reward is present. An important factor in this area is the ability to differentiate between effective and ineffective managers. The inability to do this is a major weakness in local government that is most evident at the council level, in terms of council's inability to appraise and reward the performance of top administrators. Unless management performance can be assessed, feedback will play an inadequate role in management improvement and managers will lack motivation to attempt new approaches. The LGMP tried to involve senior managers in the initial stages of planning, where possible, but this attempt was often unsuccessful. In retrospect, a great deal more emphasis on the need for and the development of rewards for effective management (not for compliance with a program) was necessary.
- iv Managers sometimes regard the introduction of management improvement programs as an indication that they are regarded as poor managers at the present time. Thus, by rejecting the program, they feel they are signifying that it is not required. In fact, such ploys have worked in the past as a result of the managerial naivete of a large number of councillors.

Again in retrospect, the LGMP staff needed more and clearer examples of the behaviour of both ineffective and effective managers as models. They also needed to accompany that evidence with assur-

ances that the potential for improvement is present in every organization, and that involvement in a managerial improvement program does not signify a weak manager (actually the reverse is usually true, given that the program is really a viable one, because strong managers are usually looking for ways to improve).

- e **The LGMP Team** was not aware of the need for real involvement of managers at all levels.  
Characteristically, of course, behaviourists have for years discussed the need for greater communication in organizations and for the evolution of some means of involving lower level managers and employees in decision making. Characteristically, also, managers have resisted those initiatives because:
  - i involving lower level managers in problem-solving types of decision making does not work very well if senior managers have already misidentified the problem;
  - ii involvement is seldom effectively instituted at the problem identification level because employees or junior managers are not effective in that role if they act as 'yes' men and the atmosphere created by senior managers often leaves them no other alternative;
  - iii higher-level managers are often loath to acknowledge problems which reflect upon them, and for that and other reasons, are slow in taking action to remedy the problems identified;
  - iv goals and objectives of the organization, particularly in government, are frequently not clear enough to permit effective involvement in problem identification; and
  - v participation has characteristically been aimed at the formation of effective work groups. While the LGMP experience indicates that teamwork is invaluable for reasons of communication, co-ordination and integration, there is no evidence that the formation of groups 'per se' should necessarily be encouraged. Teams have (or should have) definite organizational purposes and usually, objectives. Groups may quite feasibly detract from organizational effectiveness and it is the relationships between individuals and their superiors and with others in their sub-organization that is most important. These relationships may or may not involve strong informal group relationships.

Thus participation for participation's sake is often of little avail and sometimes dangerous. Quite often the senior manager has information and knowledge that is not available or important to people at lower levels, and he is in a much better position to make a decision than they are. What he is almost always not able to do, however, is to clearly identify what is happening at levels below him in the organization, what, precisely, is going well and what, precisely, is causing problems. In this capacity the people who report to him can be invaluable. The question he needs to have answered by each sub-manager or employee, once his role and objectives and the roles and objectives of those reporting to him have been defined is, 'What is preventing you from doing the best possible job?' The second important question,



that will supply him with some considerations for effective problem solving is, 'What needs to be done within this organization to help you to do a more effective job?'

If the LGMP were repeated, purpose clarification, role clarification and problem identification would be the main and immediate emphasis, at all management levels. *The LGMP Experience: Guidelines for Organizational Change in Local Government*, goes into some detail in these areas and it is not necessary to repeat the technical details at this point.

It is very important to recognize, however, that such involvement is not for purely cosmetic or motivational purposes. The ideas which come from lower levels are invaluable and they cannot be obtained elsewhere. The amount of 'locked-in' knowledge in every organization is immense and, by releasing it, a good deal of potential work related energy may emerge as well.

### 3 The Roles of Councillors, Administrators, and Consultants

Throughout this, and other LGMP papers, there is the recurring theme that any program of management improvement must be 'owned' by managers within the municipality. This means that local government councillors and administrators not only need to support the program, but that they also need to become involved in planning, design and implementation. External consultants can play the role of advisors, but should never take prime responsibility for a program, neither credit for its successes nor blame for its failures.

#### a THE ROLES OF ADMINISTRATORS AND COUNCILLORS

The most efficient way of improving the council-administrative interface is to find out from both councillors and administrators what is happening at present and how they think it might be improved. Since the changes will involve new behaviours on the part of administrators, and probably councillors, those new behaviours will need to be tried and feedback obtained. As with change at any other organizational level, the actual change in behaviour will probably be gradual and incremental, meaning that there must be an ongoing process of communication as the change occurs.

Thus the primary requirement for both councillors and administrators is a willingness to get involved from the outset and stay with the process during the gradual realization of change.

At the outset, these top managers must make every effort to ensure that the external advisors have both knowledge and capability in dealing with people. Unless the program includes both ongoing problem identification and municipal involvement in adapting it to the needs of each municipal function and each management level, the feasibility of success is questionable.

It should be understood that this discussion refers to major and long term management improvement. On the other hand, it is also possible for perceptive consultants to identify areas of municipal operation where major savings are possible and the correction may require little municipal management involvement, except in overcoming the specific deficiency identified.

Where certain types of processes and other management changes are identified as desirable, top managers can play two important roles in ensuring their implementation.

- i They can indicate their support for the program and develop reward systems for managers who try to improve their management capability.
- ii They can help with the training, particularly of managers who report directly to them.

At the present time, many local government administrators question the interest of their councillors in management improvement and, in many cases, also see their senior administrators as being more attuned to personal success and survival than to the improvement of management effectiveness.

#### b THE ROLE OF EXTERNAL CONSULTANTS<sup>2</sup>

While the consultant needs to be available to train internal advisors and to help in resolving conflicts and in establishing common goals and objectives for top managers, he must be careful not to become regarded as a decision maker. Decisions regarding the program and also those concerned with the establishment of unit and individual goals and objectives, must be those of the councillors and/or administrators involved. He can, however, emphasize the need for senior managers to take action with regard to problems that have been identified and ensure that they inform those who identified the problem what action has been taken.

External consultants can also act to protect internal consultants by accepting responsibility where processes have not been effective and by taking responsibility for initiatives which might irritate influential councillors or administrators. The LGMP experience indicated that internal advisors needed to play an active role in getting managers involved in experimenting with new management techniques. This occasionally brought them into conflict with managers, particularly those who were not eager to see the process succeed. The internal advisors can readily become convenient scapegoats and discrediting them is at least a first step toward discrediting the entire program. Thus an external consultant plays an important role in mustering support for the internal change agent and in encouraging higher level managers to focus on the resolution of issues rather than upon infighting.

#### c THE ROLE OF INTERNAL ADVISORS

During the LGMP, internal advisors were found to play an extremely important role in the implementation of new management techniques. The internal advisor was attuned to feelings within the municipality and could identify managerial needs and possible sources of insecurity or dissention to a far greater degree than external advisors. They were also close at hand and could provide on-the-spot assistance to managers who were having difficulty in adapting to new processes.

It was extremely important, of course, that the internal

2 The potential roles of both internal and external consultants are discussed in the LGMP publication, *The LGMP Experience: Guidelines for Organizational Change in Local Government*, Paper 5, and the content of that paper will not be repeated here.



advisor was not involved in management decision making. Where that happened, managers were apt to do one of two things which were fatal to the success of the program:

- i they might come to rely on the internal change agent and fail to develop as managers in the way intended;
- ii they might blame the managerial problems that they encountered on the change agent and refuse to accept responsibility for the things which happened within their own areas of responsibility.

In particular, it was hard for both internal and external change agents to draw the line between an advisory function and involvement in decision making. They were aware that the improvement program would fail if problems identified by lower level managers and employees were not clearly defined and addressed by higher levels of management. In many cases, advisors became involved in problem definition and made reports to upper level management, pressuring upper level managers to deal with the problems identified.

In general, there was a great hesitancy on the part of municipal councillors and administrators to deal with problems identified at lower levels. Complaints by the public or by higher levels of management were regarded as important and were dealt with, often cosmetically, quite quickly. Problems identified by lower management levels were often more genuine management problems but were not granted the same level of priority.

#### **4 The Influence of Municipal Size**

Unquestionably, municipal size is an important variable in regard to the type of management improvement program that would be most appropriate.

Whereas all four of the LGMP municipalities were relatively large in terms of population, the smallest being the City of St. Catharines at 120,000, the Project staff had some contact with municipalities of considerably smaller size. Even between St. Catharines and London, population 300,000, and Ottawa, population 400,000, there were significant differences in the apparent problems and feasible paths to solution.

Certain management problems appear to be common across municipalities of all sizes, whereas others are dependent upon the population of the municipality and the resulting size of the local government staff. Regional or metro governments, of course, have a number of special problems resulting from the functions they must perform. A discussion of management issues as they apply to municipal governments of various sizes is included in Part III.

## **SUMMARY**

In this section, an attempt has been made to indicate the more specific conclusions resulting from the events that took place during the implementation phase of the LGMP.

The LGMP experience indicates the importance of the existence of a strong desire for management improvement on the part of both councillors and administrators, and a willingness to become involved in the change process at all management levels.

Municipal managers must accept ownership for the improvement program and be able to provide it with an integrated and co-ordinated base of support at both council and administrative levels. Since they also need to be involved in planning and determining the characteristics of the program, support does not imply commitment to some externally imposed program.

Managers in local government frequently need basic training in management and, in particular, need to be concerned with the definition of their own managerial roles.

The processes that are introduced in a management improvement project should meet the more urgent management problems identified by the managers themselves. Each manager will learn and will apply somewhat different processes to suit his own unique approach to management. Feedback and support from trainers and senior managers can, however, be very helpful in helping him to learn and adapt the new techniques to suit his own style.

Co-ordination at both the top administrative and council levels is important. An executive committee is recommended to focus council decision making and to develop recommendations on corporate matters. A senior administrative officer is recommended for municipalities of over 50,000 in population and it is suggested that he should develop a senior administrative team.

A primary requirement in local government is the clarification of the municipality's role and of the respective roles of council and administration. Once roles have been clearly defined, council is better able to provide direction for the administration and to obtain much needed advice from them. The LGMP staff concluded that councils were not effectively using their administrative resources.



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# Part III







## Implications for Other Municipalities

The LGMP experience would be sterile if the things which were learned could not be applied to other municipalities. To a large extent, the more specific and detailed applications of the knowledge and information obtained during the LGMP are contained in the four technical publications and in *The LGMP Experience: Guidelines for Organizational Change in Local Government*. In this part of the paper, an attempt will be made to summarize the information as it applies to the implementation stage.

Both general and specific potential applications of LGMP experiences are described here. In examining these suggestions it is important to remember that whenever any general statement is made about local government, there will be exceptions and the conclusions contained in this paper conform to that rule. Some of the more specific observations from the LGMP experience, of course, will apply to a very small number of municipalities.

Perhaps the most important information which might have been contained in this part of the paper has already been discussed in the general conclusions contained in Sections A and B of the Analysis. In Section A it was indicated that the roles of council, administration and local government overall are frequently inadequately defined. It was also suggested that there is some confusion and misunderstanding in the interface between council and administration, among departments within the administration, particularly in regard to support services and co-ordination, and between the local government organization and the public. Section B discussed some general conclusions relating to managerial change and indicated that the LGMP experience could contribute to the knowledge of management improvement methods and techniques. Thus, while the discussions in those two sections of the analysis may not apply to all municipalities, they certainly apply to most. Some of the specific implications in the areas of role definition and organizational change will be reviewed before moving on to some less inclusive observations.

### THE ROLE AND PURPOSE OF LOCAL GOVERNMENT

There is a general need for clarification of the purpose and roles of local government and its constituent parts. The LGMP staff feel that this requirement pertains to all local governments, regardless of size, and that both councillors and administrators need to be involved in the role clarification. Consultants or advisors can help during the process, but cannot make recommendations. The process must continue until some degree of consensus has been reached by elected members regarding the respective roles to be played by council and administra-

tion in local government decision making. It well may be that, following such a process, the Provincial Government will need to be approached regarding the extent of authority and responsibility desired by the municipality.

The LGMP staff are convinced that the road to effective and efficient management must begin with the definition of purpose and of the roles involved in achieving that purpose at each management level. Management improvement programs initiated without basic understanding of roles will not likely have a major impact upon local government management.

When council has clearly differentiated between its political and service delivery management role, possible conflicts between the two roles become more apparent and thus can be avoided. Once the service delivery role of local government has been clearly outlined, council can determine what contribution it wishes administrators to make to the management of the service delivery function. Council is clearly the body which:

- 1 must decide upon the type of service and the level of service which will be delivered, usually with the help of information regarding potential costs and benefits supplied by the administration;
- 2 must assign responsibility to administrators for service delivery and for providing advice to council on both departmental and corporate issues;
- 3 must make the decisions regarding the hiring of top administrators and must establish rewards for effective management within the administration;
- 4 must agree, in conjunction with administrators, upon a set of processes for council/administrative communication which:
  - a will contain checks to ensure that council directives are understood by administrators (they frequently are not);
  - b will ensure feedback to council confirming that the administration is carrying out council directives;
  - c will enable administrators to provide councillors with ongoing recommendations and advice without fear of censure for taking the initiative (again a problem which the LGMP staff frequently observed);
  - d will ensure rapid, economical approval of recommendations and determination of priorities by council which will enable administrators to put programs into effect without delay;
- 5 must evaluate the probable future service needs of citizens of the municipality and, with administrative



advice, set goals and objectives for the municipality. These will:

- a provide the public with some idea of what municipal intentions are and give them something to react to, and;
- b provide administrators with a plan for the future which will enable them to obtain and allocate resources, so as to accomplish municipal objectives as efficiently as possible.

All of the preceding comments merely indicate that local governments must implement some of the basic requirements of effective management in any organization, beginning with council and involving upper level administrators. Municipal councils in municipalities of all sizes need to clarify their roles and establish plans for the future. Unless they are doing this and, in fact, are able to present a clear set of broad objectives in various service areas and in regard to the maintenance and improvement of the quality of life of citizens, they are not fulfilling their management role. It appears to the LGMP staff that the only way councils can be encouraged to manage in this way is to make provincial support for municipal programs contingent upon evidence of effective planning and management. While the existence of statements of purpose, roles and goals and objectives does not necessarily signify effective management, this emphasis should at least convince the municipality that such processes are considered important. Perhaps, even more significantly, goals and objectives give the public something to react to in making suggestions for additional services or alternate courses of municipal development.

## INVOLVEMENT IN MANAGEMENT IMPROVEMENT

In Section B of the analysis, it was emphasized that management improvement is a slow process and that its success is dependent upon the involvement of managers in the design of techniques of management for use in their areas of responsibility. Managers also need reinforcement and support from their superiors for effective implementation of improved management techniques. Management improvement programs which are superimposed from above have little possibility of success unless some specific management problem areas have been identified and specific known actions or techniques will serve to correct the problem. General management improvements such as better problem identification processes, greater delegation of authority, clear assignment of responsibility and improvement in decision-making and communication processes require long term efforts. The managers who will be making the changes need to be personally involved in both the planning and implementation of the program.

While consultants can help by suggesting alternative methods of improvement, by reinforcing effective management behaviour and by pointing out areas where obvious improvements are possible, the initiative for the management improvement program must come from within and the responsibility for its success must be accepted by the managers involved.

When asking managers to undergo a program of management improvement, it should be recognized that changes in management style and content are difficult

and that merely being told that certain activities, e.g. goal and objective setting or problem identification are desirable, will not ensure that they will be accepted. Managers must try out the new methods, obtain feedback and adapt them to suit their own modes of operation. Changes will take place slowly, even when the advantages of the change seem evident. Observations of both private sector and public sector organizations, which have initiated management improvement programs, indicate that the actual extent of change in management content and style is grossly overestimated by the managers responsible for initiating the change and consequently by higher levels of management.

To provide some perspective on potential methods of evaluating the impact of management improvement programs, some of the LGMP evaluation techniques are outlined in some detail.

## EVALUATION OF THE CHANGE PROCESS

Municipalities undertaking any major change process, are strongly encouraged to make an attempt to evaluate the impact of that process. The evaluation should be initiated to determine whether or not the process should be continued and what direction it should take. This evaluation can vary from a very formal, scientific approach to a very limited, almost informal evaluation of the major changes which have taken place.

The evaluation component of the LGMP was a detailed, multi-faceted process which was designed to determine the impact of the Project. It included a detailed questionnaire for all managers involved in the process, as well as a detailed description of all management processes and procedures being used in the municipality prior to implementation. The individual questionnaire was repeated annually for the duration of the Project in three of the four municipalities. The Project Team also kept track of changes in management procedures and processes.

The evaluation process began by the gathering of certain base data prior to the orientation workshops. Changes were recorded during the Project and periodic comparisons were made with base data to determine what impact the management improvement process was having.

The extent of the evaluative data required will depend upon the purpose, scope and design of the management improvement program planned. Some suggestions regarding potential evaluative processes follow.

### 1 Individual Manager Questionnaires

Any questionnaires which individual managers are asked to complete must be carefully designed to meet a predetermined purpose. Such questionnaires should reflect changes in attitudes and work processes and can vary from a short, open-ended format to a comprehensive survey, such as the one used by the LGMP. Changes in responses may indicate either developing problems in management or improvements which have taken place during the course of the management improvement process.

Questionnaire results are only meaningful when they are compared to questionnaires filled out previously by the same people, or those filled out at the same time by



managers in other municipalities. Therefore, the data which are obtained at a first sitting give almost no insights about the municipality, unless the same questionnaire has been previously used in other municipalities. The LGMP questionnaire now has an established data base from the Project Municipalities, and this should be useful to any municipalities which would like to follow-up on their management improvement programs.<sup>1</sup> Comparisons between results at different times will reveal information about changes in attitudes toward the change process, toward other managers and employees and toward the job itself. It can also indicate changes in work habits, the degree of satisfaction with information available, time spent in various managerial pursuits and other aspects pertaining to the management behaviour of the managers within the municipality.

A major problem in the administration of a questionnaire by managers from within a municipality lies in the difficulty of obtaining valid and reliable information. If respondents have any fears regarding the potential use of that information or its confidentiality, they will be unlikely to reply frankly. During the LGMP, the Project staff controlled all questionnaire data and released nothing to a municipality which could have negative implications for any individual. The use of an external agency to control questionnaire data is strongly recommended. This could be either a consulting firm or a university research group.

The LGMP experience confirmed the need for a carefully designed pre-briefing and a set of procedures for the administration of the questionnaire. As managers from each municipality completed the questionnaire, both the briefing and administration process was revised and updated. Managers proved to be very helpful and cooperative, particularly after the processes had been improved. The results obtained appear to have a good deal of face validity. Other municipalities contemplating the use of such a questionnaire should examine the LGMP experience in detail and obtain copies of the LGMP questionnaire, plus the briefing and questionnaire administration procedure.

## 2 Basic Organizational Information

As indicated earlier, before any management improvement program is initiated, it is very important that the managers who are to be involved develop an awareness of where they are at the outset in terms of the processes, procedures and techniques they are currently using to manage the municipality. These include budget processes, appraisal processes, procedures for support services such as management information, central purchasing, equipment maintenance, and others. The measurement of changes in management processes and the number of processes which are developed or eliminated, is one of the best and easiest ways to assess the impact of any management improvement program.

The cataloguing of managerial processes and procedures at the outset of the intervention, not only provides some base data which will help in estimating the impact of the change process, but it also develops managerial awareness of the nature of the processes which they are currently using. This awareness can, itself, bring to

mind areas where necessary processes and procedures are lacking.

Tracing the changes that occur in management processes during the life of an improvement program, may reveal impacts which were not expected and changes which might otherwise go unnoticed. Sometimes managers will wish to accentuate the changes which have occurred, while in other cases they may wish to control changes which might be harmful in their impact (e.g. a vast increase in the number of meetings or in the flow of paper).

Finally, of course, tracing the changes which have occurred is helpful in determining whether the benefits of the program are worth the costs incurred, and whether the program should be continued, from the perspective of both council and administration.

Even smaller municipalities should try to trace changes which occur in the management processes and attitudes of managers, for the above stated reasons. A short open-ended questionnaire can easily be designed for such municipalities and they can also record the management processes and procedures currently in use at the outset of the improvement program.

The importance of an understanding by managers of the actual impact of a management improvement program cannot be overemphasized. Without this type of information, they are unable to control the program and may not even be able to determine whether or not it is beneficial.

## ORIENTATION PROCESS

As earlier sections of this paper indicated, the orientation or familiarization process for managers who were to be involved with the LGMP was conducted in different ways in each of the four Project Municipalities, although a high degree of commonality did exist. Several conclusions have resulted from the LGMP experience.

### 1 Orientation for All Managers Involved

Initially the LGMP staff felt that all managers who are to participate in a process similar to the LGMP should receive a thorough orientation regarding the aims, intentions, timing and details of the project, and should have their own probable role in the process outlined before it began. They are now thoroughly convinced that managers at each level must play a more fundamental role in determining the nature of the program and in planning and carrying out its implementation. The most effective and feasible approach seems to involve separate planning workshops for groups of about twenty managers, who are at approximately the same managerial level and who represent all the municipal departments. Department heads should form one separate group for planning purposes, because the function of this top management team is quite distinct from the function of other managers in the change process.

Managers at the same organizational levels have similar problems and ask similar questions concerning the implications of the intervention for their roles in the organization. In addition, where departments or divisions

1 The LGMP questionnaire is available from the authors at the School of Business, Queen's University, Kingston, Ontario.



are involved in administrative support roles, identification of problems and solutions is often best accomplished by direct discussions among managers who are at approximately the same organizational level. Communication can often be initiated or facilitated during an initial orientation and planning process and then followed up as the management changes begin to take effect.

The major requirement for inter-departmental teamwork and co-ordination in municipal government exists at the department head level. Therefore, extensive and detailed initial planning is necessary at that level. If it is to be successful, a management improvement program requires the support and involvement of most department heads and their questions must be answered, reservations removed, and their own contribution to the program determined as early as possible.

Thus an effective orientation, involving as many top managers as possible in the planning process, is very important because at the outset of an improvement program many managers may have sincere doubts regarding the desirability of changes and may be fearful of possible consequences. The effectiveness of the implementation of change is fully dependent upon the co-operation and involvement of every manager. Processes introduced through directions from the top levels of management may have the aura of success at the outset, but real success depends upon the belief by most managers that the process will be successful in improving management at their level.

Convincing managers that the process is a useful one and ensuring that all their questions are effectively answered, may require the presence of an experienced consultant, external to the organization, to conduct the initial planning and orientation workshops. Internal advisors should also take part in such workshops so managers begin to see them as a source of expertise.

## 2 Identification of Forces For and Against Success

It appears to be helpful to have each group of managers identify factors which should either aid or act to hinder the successful implementation of a management improvement process. By getting them involved in such a discussion, their reservations about the process are likely to be made explicit. The managers themselves can help to overcome these reservations by suggesting ways of dealing with the implementation problems that they have identified.

Both external and internal change agents can learn a great deal about the positive and negative forces and feelings within the organization in this way, and will be better prepared for problems which arise during the course of the program. Encouraging managers to suggest ways of overcoming factors which are working against the program and of increasing the strength of factors which are contributing to the program, will aid the managers themselves to develop a more positive approach to the process.<sup>2</sup>

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2 Asking individuals to identify forces working for and against a proposed change is referred to as force field analysis. This technique can be very helpful in improving management methods and operations.

## 3 Use of Examples of Common Problems and Issues

If the external advisor is reasonably familiar with some of the common problems in co-ordination and communication which exist in municipal government, the orientation workshops can be more problem-centred and pragmatic from the viewpoint of the managers involved. For example, the LGMP staff found that problems often existed in regard to the definition and development of support services such as personnel, purchasing, vehicle pools and maintenance, and data processing and financial information systems. Problems were also common in regard to central processes such as the budget, audit procedures and communication within the administration and between administration and council. When the selection of problem areas is appropriate, councillors and administrators can identify with them and become more involved in the workshops as a result.

## 4 Use of Case Examples

Cases were used to some extent in the LGMP orientation process but did not meet with outstanding success. Municipal managers are apt to regard them as models of a technique rather than as examples which provide a basis for the discussion of a process and its potential application to the municipality. Thus if cases are used they must be highly relevant to the process being initiated; otherwise, managers may be confused and misunderstand and underestimate the role they should play in developing the program to ensure that the techniques adopted meet their specific needs.

## 5 Length of the Orientation Period and Workshops Required

When the LGMP was initiated the Project Directors had already decided upon the processes which were to be introduced. Managers would learn to use goals and objectives in management and a hierarchy of goals and objectives would be developed with corporate municipal goals and objectives at the apex and first level managerial goals and objectives at the base. Thus, orientation was to be a matter of convincing managers that the process was viable and helping them to understand it, whereas goal and objective workshops were scheduled to teach them how to carry out the process.

The remaining LGMP staff now believe that a management improvement program cannot be structured, even to the extent of expecting managers at all levels to develop similarly refined goals and objectives.

Managerial sophistication, needs and present managerial techniques vary. Some managers are operating quite effectively without the benefit of formal goals and objectives, while others with formal goals and objectives really do not understand the purpose of their jobs. The primary recommendation of the LGMP staff is to first of all ensure that the purpose of the organization is clearly defined, then to ensure that managers understand their roles in achieving that purpose, and finally, to ensure that the things managers must do to perform their roles effectively are clearly defined.

When purposes and roles are clear at a particular management level, problem identification, preferably involving immediate subordinates, is the next step. Goals



can then be set to identify the ongoing management activities necessary to carry out the manager's role, followed by objectives which deal with the problems that have been identified.

For the type of program approach suggested, which requires management involvement at all levels and includes team problem identification,<sup>3</sup> the orientation process required is quite different than the one used during the LGMP. Managers need to be made aware that the process will require their involvement, that they, with the help of advisors, will develop techniques of management which apply to their own particular management circumstances, and that they will not become submerged in a system which allows no individuality or personal variation. On the other hand, management improvement, by definition, means that managers must learn to manage more effectively and efficiently and to accomplish that purpose the program must impose demands upon the individuals concerned. Therefore, managers must emerge from the orientation period reasonably confident that they can make the improvements that they have helped to plan, to overcome the problems that they have helped to identify. During both the problem identification and planning period they must feel free to identify problems, to express their feelings about potential solutions and to evaluate suggestions by the trainer or by other managers.

An important function of the orientation period and the early workshops is the encouragement of trust and openness at upper administrative levels early in the process. These sentiments can be developed at the council/administrative interface and at lower levels of the administration during implementation.

Unless communication is relatively open at all levels, the potential for the successful implementation of any management improvement is limited. The development of open communication and participation in problem identification and problem solving does not imply soft management, it requires frank and open management with the genuine expression of opinions and of reactions to new ideas.

With these rather demanding requirements, there is a need for an orientation *period* rather than merely for an orientation *workshop*. The length of such a period will depend upon the time required to develop an aura of trust among managers and to obtain a common commitment to the improvement of management effectiveness. When managers at upper administrative levels are psychologically prepared to work together in a management improvement program, problem identification and actual program planning can begin. The initial work at higher levels will help in preparing the ground for subsequent problem identification and planning sessions at other levels and the program will actually take shape as it is implemented.

As indicated, in Section A of the Analysis, the LGMP staff are convinced that municipal councillors need to consistently work toward improving the effectiveness of their management roles and, therefore, any relevant and large scale management improvement program must involve both council and administration. In smaller

municipalities, where councils actually carry out more of the every-day management of the municipality, this becomes even more important. Some thoughts regarding potential council and administrative involvement in management improvement follow.

## COUNCIL INVOLVEMENT

Council approval of and eventual involvement in any large scale management improvement process is almost mandatory, because communication between administration and council is certain to be affected and administrative decision-making processes are certain to change as a result of the program. Changes in both of these areas are generally needed and should have a positive effect on local government management. Unfortunately, councillors are frequently involved in minor aspects of administration, meanwhile neglecting to establish the higher level policies and direction needed by the administrators. They frequently react negatively to any interference with their perceived powers of control, and may even object to administrative decisions relating to operational service delivery. Thus, some councillors may feel negative toward many of the process changes suggested in LGMP publications, particularly in regard to the development of administrative management teams.

If it is known that many councillors are strongly in favour of management improvement at the outset, a council orientation workshop or, at least, a detailed description to council of the process and its potential impact on council, is probably a good idea. Unfortunately, council consensus on such programs is usually lacking and it is impossible to hold an effective workshop if there is any danger that some councillors are prepared to use the approval or disapproval of municipal involvement in the program as a political issue.

The management improvement programs most municipalities need are complex and hard to understand, particularly for those council members who are not practicing managers, and councillors can easily become negative toward them as a result. Even if the process has strong backing within the council, any major controversy at the time of its approval will provide a rallying point for those administrators who fear a change in the status quo. There is a natural tendency on the part of administrators to unite against any perceived outside threat, and support for a change process can rapidly disintegrate if apprehension develops.

Particularly in the case of the type of management improvement program recommended here, which is vague because it needs to be both flexible and adaptive, opposition is relatively easy since the scope and objectives of the program will be determined as implementation takes place. The program should result in the improvement and/or development of certain distinct management functions, roles and processes but the actual changes that will occur in the behaviour of managers

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3 See *The LGMP Experience: Guidelines for Organizational Change in Local Government*, Paper 8 for a description of problem identification.



involved in the program cannot be prescribed beforehand.

Although councils were not involved early in the implementation of the LGMP, the Project Team came to certain conclusions regarding the nature of council involvement in determining the purpose, roles and future direction (goals and objectives), for the municipality. Councillors do not have the time, the information or, usually, the inclination to spend long periods of time determining long and short term goals and objectives. They are often not aware of the trends which have been established by past council decisions and previous municipal legislation, and are not either attuned or accustomed to the lengthy process of consensus-seeking necessary to establish goals and objectives.

This being the case, the Project Team feels that administrators must accept the major responsibility for initiating any process of corporate goal and objective setting. Once senior administrators have become familiar, both with the process of determining goals and objectives and of using them to manage, they can work as a group to establish a set of corporate municipal goals and objectives for council's consideration, revision and approval.

To save time for department heads, some junior administrators can be assigned to research the decisions made by council and the discussions of council over the past few years, to attempt to establish the direction in which the municipal government is moving on certain major issues, e.g. transportation, housing, social services. Such research can also indicate trends in respect to the accumulation or loss of powers relative to other levels of government or to special purpose boards or agencies. In this way a tentative set of goals, or apparent directions in the management of the municipality, can be identified and a number of tentative objectives established in each goal area by the senior administrators.

These tentative goals and objectives can then be discussed by council, preferably in workshops with administrative input. Councillors can decide whether those assumed goals and objectives really represent the desired goals and objectives of the municipality. Changes and revisions can be made as a result of suggestions during the workshops, and the revised goals and broad objectives will provide the administration with a somewhat more explicit set of guidelines for their operations than is available in most municipalities. The public will also have something to react to when such goals and objectives are made public and, in this way, better information should be obtained from the public regarding their desires for future development and services.

## MANAGEMENT IMPROVEMENT IN ADMINISTRATION

While it is not possible to indicate exactly what management changes will need to be implemented or will

take place in particular municipalities, it is possible to sketch a general procedure which should be appropriate to most circumstances. This procedure includes the following steps.

### 1 Initial Workshop

Before deciding to take part in a major management improvement program, councillors and administrators should meet to determine the need for such a program, to outline some potential objectives and benefits, and to ensure that both council and administrative support is available for the program. In this initial workshop no attempt should be made to determine the actual characteristics of the program, although the definition of its general scope and form should be possible at this time.

### 2 Appointment of a Program Director

Once support has been indicated for a management improvement program, the next step involves the appointment of a senior administrator to act as the program director. This individual should be selected to add power and prestige to the program but he should also have a substaff, an internal advisor and assistants, who will administer the program and also act as trainers and internal consultants.

### 3 Problem Identification Workshop

The program director's first step will be to examine the potential sources of external advisory expertise. At the same time he can also carry out a problem identification survey of council and senior administrators. The data collected can best be discussed, consolidated and be given focus in a problem identification workshop. During that workshop, preferably involving both councillors and top administrators,<sup>4</sup> the following decisions can be made:

- a the selection of an external consultant if one is seen to be desirable;
- b the identification of the major management problems in the municipality at the council and top administrative level;
- c the prioritizing of major management problems;
- d tentative determination of some ways of dealing with major management problems;
- e obtaining of pledged support for the program including a defined willingness to spend a particular amount of time in management improvement on the part of a large number of senior administrators;
- f tentative determination of the potential speed and scope of the management improvement program.

### 4 Program Planning Workshops

Once the desirability and approximate desired scope of the program has been identified, the program director can finalize the selection of an internal program administrator and trainer. Such a person will probably need to spend at least half his available time on the program. *The LGMP Experience: Phase I* discusses the selection of an internal trainer in some detail, but at the time *Phase I* was written, the need for a highly influential program director, or figurehead, was not so clearly recognized.

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4 Whether or not councillors are involved at this point will depend upon their perspectives as to the need for such a program. In any case, problem identification data should be obtained from councillors.



The program director can also arrange for presentations to top administrators and councillors if applicable, by various external advisors or consultants so an appropriate advisor can be selected for the type of program required.

Using information from the previous workshop, the project director can establish the general requirements, set up an approximate time frame in consultation with his external advisor, if applicable, and is then in a position to obtain input and feedback regarding the proposed program from administrators and councillors. This is probably best obtained in a program planning workshop involving the external advisor, internal program staff, senior administrators and supporting councillors. At the conclusion of this meeting, the form and schedule of the program should be defined to the administrators who are to act as internal trainers, they should be scheduled for the special training they will need, and the resources required for the program should be approved.

While the requirements of a management improvement program will vary according to the problems which are identified, the LGMP staff feel strongly that certain consistent program requirements apply to almost all municipalities. These include:

- a improving council and administrative interaction and communication;
- b developing a corporate perspective at the top administrative level, (this area is discussed thoroughly in *Corporate Management: Its Role in Local Government*);
- c clarifying the purpose of each management unit;
- d determining goals and broad objectives at the corporate level and goals and more specific objectives at subsequent levels;
- e ongoing problem identification at each subsequent management level;
- f a systematic effort to develop common data bases, filing systems, retrieval systems and communication systems among all departments and to develop simple, clear and well understood procedures for support services and council-administrative communication, including approval processes, report handling and dealing with recommendations, (this area is discussed thoroughly in *Improving Management Performance: The Role of Management Information*);
- g an attempt to develop performance measures for organizational units, programs and individual managers, (this area is discussed thoroughly in *Improving Management Performance: The Contribution of Productivity and Performance Measurement*);
- h finally, an attempt to develop an ongoing adaptive capacity which will serve to encourage management improvements as required to meet the new challenges which evolve. The possibilities of appointing a per-

manent management improvement co-ordinator and developing an ongoing problem identification process are both potential ways in which such a capacity might be developed and should be investigated.

Municipalities will characteristically need outside help in developing and training internal management advisors. The capacity of such advisors to develop an aura of trust and to work closely with municipal managers to help them to adapt new ideas to their own management approaches will be an important factor in the program's success. The LGMP experience indicated that both management experience and management education were valuable to an internal advisor but that both of these characteristics were probably secondary to confidence and a willingness and ability to work closely with people.

## 5 Management Training Workshops

Particular requirements for management training may vary from department to department, and suitable special programs can be arranged by internal trainers. These programs should be as practical as possible, allowing for experiential learning, whenever the type of information to be imparted permits such techniques.

In smaller municipalities, workshops may be scheduled jointly for several municipalities which have similar training needs. Characteristically, management problems seem to be reasonably similar among smaller municipalities, although the relative involvement of council and the degree of sophistication of administrators can be major variables.

In smaller municipalities, an external consultant or trainer may be able to work directly with the three or four administrators in helping them to improve their managerial effectiveness and to improve co-ordination and communication.

## 6 Workshops at Lower Administrative Levels

Regardless of the size of the municipality, department heads who are familiar with the process, can work with the branch or division heads reporting directly to them. The department head should have prior training in goal and objective setting and should begin with a problem identification workshop. Ideally he should have a tentative set of departmental goals at this point, plus a few tentative objectives and he can work with his branch or division heads in refining these and in determining other objectives to deal with the problems identified. Involvement in the determination of departmental goals and objectives is motivational for the branch or division heads, in that it gives them a chance to have input into the goals and objectives they must help to achieve. They are able to provide the department head with a better idea of what their employees can produce so he can set more realistic goals and objective at the departmental level. Branch or division heads can, in turn, involve the managers who report to them in problem identification and in determining branch or division goals and objectives. Departmental, branch or divisional problems in



co-ordination can be identified, properly analyzed and resolved in special meetings.<sup>5</sup>

## THE IMPACT OF THE PROCESS UPON INDIVIDUALS

It was particularly informative for members of the LGMP staff, who worked very closely with a number of managers in introducing the LGMP processes, to note the great variation in the ways that managers were able to accept and use these processes. By its very nature the LGMP required both teamwork, or the ability to work with others, and delegation. Some managers adapted to both of these requirements more easily than others but some common difficulties encountered and some potential ways of countering those difficulties are described below.

### 1 Delegation

Many otherwise good managers have trouble delegating, so it may be necessary to help them to delegate in a different and sometimes more limited way than other managers who find delegation easier. A great deal of support is necessary to reassure the manager that he is not losing his ability to control by delegating and to help him to develop trust in those who work for him. The process must be gradual because the senior manager is not accustomed to delegating, whereas the junior managers are not accustomed to accepting responsibility, and a major change in the management style of both parties may be required. Where chains of command are being consistently violated as a result of an inability to delegate, the actual operating organizational structure must be recognized and managers must be made aware of what is happening before changes are attempted.

### 2 Management Overload

Managers who complain of overload are frequently those who are unable to delegate and who are not developing the management processes and procedures necessary for effective management. The problem of management overload is discussed in Paper 7, in *The LGMP Experience: Guidelines for Organizational Change in Local Government*.

### 3 Effective Use of The Goal and Objective Setting Process

Managers who are to effectively use a goal and objective setting process, must initially think rather deeply about their job. The setting of goals and objectives is not a paper exercise to satisfy the apparent needs of top management for the introduction of a process, but actually must become an integral part of the manager's way of thinking about his work. He must become conscious of his total role as a manager and establish goals and objectives to help him to do that job better. Particularly at upper management levels, the goals and objectives of a manager may be largely management process oriented

while goals and objectives at lower levels are more involved with the actual service or support activities of the department.

A major part of the internal and external change agents' roles is to try to help managers to think about their jobs in a different way. This is not only time consuming but difficult, yet, if a clear understanding of the management role is not achieved, the management change process will not be truly effective.

## CONCENTRATED EFFORT BY CHANGE AGENTS

It should be apparent from the preceding paragraphs that management improvement must be regarded as involving a fundamental change in management style and content for many managers. To bring about this kind of change, a concentrated and continuous effort is required for at least the first year of the process, with support, advice and reinforcement immediately available for two or three years thereafter.

It is, in the light of this consistent finding by the LGMP staff, not at all surprising that so many organizational processes have resulted in marginal, if any, real accomplishments in the past.

Once workshops begin, managers should be pressed to advance the process as rapidly as possible, given their own time constraints. Unfortunately, it is often overloaded managers who are not delegating effectively and who cannot spare the time to develop a new approach to management, who need the new techniques so badly. While the initial effort required is rather extreme, the new techniques should begin to take effect quite rapidly and managers' time will be used more efficiently. The development of improved management techniques is a continuous process and program directors need to maintain the initial motivational impetus, until some pay-offs from the process become apparent for each of the managers involved.

## SUMMARY AND CONCLUSIONS

Rather than summarizing the content of this part of the paper it appears more useful to indicate how the management issues that are most important to a management improvement program appear to differ in municipalities of different sizes. Some issues appeared to be significant in all municipalities, others applied more specifically to small ones of under 25,000 in population, while still others applied to larger municipalities.

### Management Issues Common to All Municipal Governments

Management issues which the LGMP staff found to apply to all local governments included:

- 1 the need for a clearer understanding of the purpose and roles of local government on the part of both councillors and administrators and, in particular, of the respective roles of council and administration in carrying out the processes of government;
- 2 the need for a statement of goals and broad objectives (inherently containing priorities) by the municipal council, for two major reasons;

<sup>5</sup> Another alternative for the determination of goals and objectives exists in the case of a fairly cohesive department, where the functions are highly inter-related. A larger department team consisting of from two to four levels of administrators can set all goals and objectives for the entire department. This was the case in the London Police Department and the process used there is described briefly earlier in this report.



- a so citizens have something firm to react to in terms of the plans for future operation of their local government; and
  - b so administrators have some guidance regarding the things they should emphasize in carrying out their tasks;
- 3 a fundamental need for an improved understanding by councillors of the operation of their own particular local government from a top management perspective or, at least, of the role they need to play as top managers if they are to promote effective and efficient government;
  - 4 a need for fundamental management training at all levels of local government, including an improved understanding of the roles which managers must play to achieve an efficient and effective operation. While large municipalities often had a number of relatively well-trained staff, the emphasis has been primarily upon technical expertise, while administrative and human resources expertise have both been neglected. It is true that large municipalities have a greater requirement for human resource and administrative management expertise than small municipalities and the LGMP experience indicated that more managers, with at least some training in those areas, were present in large municipalities. Unfortunately, the managers with capability in those non-technical areas were usually young and were not yet in positions where they could use their expertise to influence municipal management in a comprehensive manner.

Management training in delegation, communication, decision-making, motivation, role clarification, problem identification and problem solving is needed everywhere;

- 5 a basic need to regard the municipality as a corporation, in which all elements serve the same public and draw from the same resources. This perspective can result in the identification and possible solution of the broad, general problems facing the municipality and the mutual and integrated contribution of departments to those solutions. This need is more evident in large municipalities and, particularly, in Regional government, but it is also present in small municipalities;
- 6 in all municipalities there appeared to be inadequate development of systematic ways of rewarding effective management. Managers who tried hard to improve frequently were taking risks in showing initiative. Once they were seen to be trying something new, they could be singled out, as targets, for potential personal political gain on the part of some councillors. In addition, their initiatives might pose a threat to other administrators who preferred to maintain the status quo. Thus they might be attacked by both councillors and administrators. The LGMP encountered this type of problem in three of the four Project municipalities and found a good deal of evidence of its existence in smaller municipalities;
- 7 finally, all local governments face an awesome task in obtaining information from the public. Elections

results reveal very little, referenda are of limited usefulness because they are limited in scope and very costly, whereas public opinion surveys are very expensive.

### Issues Which Vary With Municipal Size

- 1 Municipal administrative staff is very sparse in small municipalities and at the same time, it is easier for councillors to become better acquainted with basic management issues. Thus council is usually much more involved with decisions which deal with such things as lower level administration staffing and the actual delivery of municipal services. This can and does;
  - a sometimes result in patronage which serves to destroy the credibility of local government. The LGMP staff did not encounter a great deal of patronage in the Project Municipalities (none at all in some of them) but they were aware of its impact upon decisions in a number of smaller municipalities. It is recommended that provincial governments avoid political appointments to local or regional positions because suspicion of patronage at the top will have a very negative effect upon performance at other levels of government;
  - b result in a greater need for basic management training for councillors in small municipalities where they are playing a much larger role in basic management decisions.
- 2 Smaller municipalities are easier to work with in several respects:
  - a fewer management levels are involved;
  - b it is not as hard to integrate the efforts of departments in the pursuit of corporate goals;
  - c mutual support services are relatively simple and straightforward in small municipalities; and
  - d records and communication systems are generally less cumbersome and it is easier to adopt common systems and to screen existing data for retention.

To some extent, these advantages are offset by councillors who are frequently less sophisticated in seeing the need for management improvement and who are more likely to be involved in government for the potential advantages of personal political manipulation and thus do not wish outside interference. Administrators may also be less able to take advantage of management improvement training, although this is not necessarily the case in municipalities with reasonably centralized populations of over 10,000.

- 3 Consultants can be of more help to smaller municipalities in the selection of new administrative staff. Technical expertise is relatively more important in small municipalities and is far easier to identify than management expertise. Selecting senior managers who can successfully cope with the management demands of a large municipality is not an easy matter. Councils generally try to choose administrators with a great deal of municipal experience, but these people are usually department heads who seldom have a



corporate perspective. The requirements for effective management in the private sector are different from those in the public sector. Thus only a select few private sector managers are likely to be successful in the public arena. Consultants have a difficult task in finding the right people and even when they are successful in finding a good candidate, their decision is likely to be questioned by the local council, which may have a quite different set of criteria.

#### **Predominance of Similar Issue Areas**

In general, first tier local governments of all sizes face similar problems. The programs required for general management improvement in larger municipalities are necessarily detailed and complex but will have similar objectives and will usually take similar form in most locations. Regional or metro governments, however, face a certain number of distinct problems.

Primarily, a Regional or Metro government must act as an integrating, planning body capable of making decisions which will result in optimal pay-offs to the area municipalities involved. At times, such decisions may benefit one municipality more than others, in fact, occasionally there may be costs involved to one or the other of the first tier governments. When that happens, the Region must have some way of compensating the municipality in which costs are incurred. Effective Regional governments will balance the benefits and the costs of Regional decisions between area municipalities. These may involve jointly supported systems such as transportation, roads, airports, recreation and tourist facilitation, land use designation, housing, and commercial and industrial designations.

Where Regional government arose from the needs of area municipalities and gradually evolved to serve a co-ordinative purpose, it has been reasonably successful, e.g. Metro Toronto. Where the concept of Regionalization is considered to be a good idea by a higher level of government, and a number of service functions are suddenly Regionalized without clear consensus and support from area municipalities, the task of the Regional government is much more difficult.

Unfortunately, to avoid conflict, Regional decisions frequently begin to approximate those which would be made by area municipalities acting in isolation, with mutual support trade-offs occurring before the problem is really considered by Regional council. Such decisions are Regional in name only and act to defeat the purpose of Regional government.

Determining solutions to this type of Regional planning problem is difficult. The credibility of Regional government must first be established in each service and planning area and when that happens area municipalities will begin to support Regional decisions. The Regional council must begin to work with considerations of total costs and benefits within the Region and establish means of compensating municipalities which stand to lose as a result of any particular decision.



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# Appendices







# Appendix I

## The Early Development of the LGMP

### INTRODUCTION

The Local Government Management Project (LGMP) is an attempt to approach the problem created by the dichotomy of increasing needs and demands for local government services on the one hand and increasing concern over the growth in costs and tax levels on the other. It focuses on management activities in an attempt to assist managers in local government to improve their operations.

The initial thrust of the Project was the development of goals and objectives which vertically and horizontally integrated the efforts and resources of all levels and agencies of local government. Problem identification and subsequent decisions which evolved as part of the goal and objective setting system resulted in a wide range of improvements in management skills and processes.

When the Project was being considered and developed by the Project Directors it was anticipated that although the same approach would be taken initially in four Ontario municipalities, it might evolve differently in each. As was expected, different processes and sequences of implementation did develop in each municipality in response to different needs, pressures and applications. The result was that distinct Projects actually emerged in the four municipalities.

### THE GOALS AND OBJECTIVES OF THE PROJECT

The stated overall goal of the Project is to assist those involved in the delivery of local government services to improve the efficiency and effectiveness of local government operations through the development and implementation of a comprehensive set of management processes based on goal and objective setting. The long term objectives of the Project include the following.<sup>1</sup>

- 1 To assist each of the four Project Municipalities to develop and implement a goal and objective setting system during the period from July, 1974 to June, 1977, by such means as;
  - a examining and documenting existing information and decision-making systems;
  - b conducting workshops in goal and objective setting and the development of performance indicators at various levels;
  - c assisting administrators in the writing of goals and objectives and the development of performance indicators on an individual and group basis;

- d assisting the four municipalities in establishing departmental goals and objectives;
    - e developing and helping to implement a comprehensive review process to contribute to an on-going system; and
    - f facilitating the involvement of council in the process wherever possible.
  - 2 To fully document the implementation experiences of the Project Municipalities by;
    - a describing the *events* of the LGMP in as much detail as possible;
    - b *analyzing* the events and attempting to draw conclusions where appropriate; and
    - c providing *guidelines* for other municipalities in Ontario and elsewhere contemplating major organizational change processes.
  - 3 To evaluate the effectiveness of the goal and objective system in improving local government management by obtaining base-line information on existing management systems and practices, managers' attitudes, modes of operation and uses of information, and then monitoring them over time through the use of a standardized research instrument administered periodically over the course of the Project.
  - 4 To continue to keep abreast of important developments in the field of local government and to publish reading guides, technical papers, case histories on other innovative approaches to improving local government, and other reference material likely to be helpful to Project participants and others.

### THE EARLY STAGES OF THE PROJECT

The critical need for a systematic approach to the development of goals and objectives in local government was initially recognized and discussed in two week-long courses held for municipal administrators by the Institute of Local Government, Queen's University, during the summers of 1971 and 1972. One of the Project Directors was invited to lecture on the topic of goals and objectives to the participants, primarily senior administrators from municipalities across Canada. His background search for material revealed that very few North American or European municipalities were using formal processes of goal and objective setting but that interest in such techniques seemed to be growing.

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1 This information is outlined in greater detail in the *Project Overview Statement* — see *Publication Order Form* on the last page.



The participants in both the 1971 and 1972 seminars showed considerable interest in goals and objectives as an effective method of improving the management of local government. This interest prompted certain individuals at the Ontario Government's Ministry of Treasury, Economics and Intergovernmental Affairs to explore, with one of the Project Directors, ways in which the theory and practice of goals and objectives could be brought to Ontario municipalities. It was concluded that a project involving four to six municipalities over a three to four year period would be feasible.

As a result of these discussions, the Ministry hosted a one-day briefing session for local government officials from twelve municipalities in November, 1972. Its purpose was to gauge how much interest there was in becoming involved in a long term project. Many of the local government representatives indicated a high degree of interest in an extensive project aimed at improving the efficiency and effectiveness of their operations through the use of a system of goals and objectives.

The strong interest shown by the municipalities prompted the Ministry to underwrite the costs of an exploratory study of management and organizational development in North American and European municipalities. The background study showed the Project Directors that a number of municipalities, universities and professional organizations were approaching the problems of local government in a variety of ways. Each different approach, however, seemed to concentrate on one part of the management process, to the exclusion of most of the others.<sup>2</sup>

These findings had a significant impact on the LGMP. Rather than focusing on a part of the process, the LGMP was designed to affect all aspects of management and all areas of operation in local government. Thus the Project Directors were able to incorporate useful portions of the narrower approaches, then currently in vogue, into a comprehensive approach to management improvement.

This investigation concluded in June, 1973, with a seminar for municipal administrators that described the results of the background search and outlined the nature and structure of the proposed project in more depth. At this seminar the Project Directors explained that they wanted to implement the goal and objective setting system simultaneously in several municipalities of different sizes and structures and to document and evaluate the implementation.

The Project Directors explained that they, and a team from Queen's University (referred to as the Project Team), would be responsible for the introduction of the system and for training, documentation and evaluation. Implementation, training and counselling would be co-ordinated in each municipality by a Project Leader appointed by the municipality. Each municipality would also appoint a Task Group consisting of senior administrators, and hopefully, some elected representa-

tives to oversee the implementation of the Project. The Ministry, which would assume responsibility for the bulk of the funding, would act in a co-ordinating capacity, and would ensure that the experiences of the Project Municipalities were communicated to other Ontario municipalities.

Again, most of the municipal officials were enthusiastic about the proposed project. The Ministry invited the municipal representatives to indicate, in writing, their degree of interest in the project. Of the sixteen municipalities represented at the seminar, twelve responded to the Ministry's request, nine expressing a high degree of interest in becoming Project Municipalities. At the same time the Ministry asked the Project Directors to submit a proposal containing the details of a four-year project aimed at implementing and documenting a broadly conceived system of goals and objectives in several Ontario municipalities. Such a proposal was submitted in July, 1973.

The approval stage took considerably longer than was anticipated because Cabinet approval was not received until May, 1974. This additional time allowed the Project Team to undertake further background research and to develop a deeper understanding of the process which would form the basis of the Project.

Once Cabinet support was assured, the next step was to secure a definite commitment from the municipalities regarding their involvement in the Project. Gradually and for diverse reasons, the number of potential participants was whittled down from nine to six and finally to four. These were the Cities of London, Ottawa and St. Catharines, and the Regional Municipality of Niagara.

During the summer of 1974, Project Leaders, who would act as internal trainers and consultants, were selected in each Project Municipality. To acquaint the Project Leaders with the LGMP and to provide them with some training in the role of an internal consultant, a workshop was held at Queen's University in August, 1974. It is at this point that the description of events contained in Part I of this paper begins.

2 These different approaches are described in some detail in the LGMP publication *Developments in the Management of Local Government - A Review and Annotated Bibliography*.



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## Appendix II

### Some Distinct Approaches to the Development and Use of Goals and Objectives

Managers in different municipalities and in different departments, and even divisions within those municipalities, adopted quite different approaches to the use of goals and objectives. Generally those approaches seemed to be appropriate to, or at least to be influenced by, the management philosophy, style and ability of the particular manager, by his reason for adopting goal and objective setting, and by the technology of the particular organizational unit. A number of the more distinct and different approaches to the use of goals and objectives, some with examples, include the following.

- 1 The chief of a police department had developed a management team consisting of the three top levels of management. This team met almost on a daily basis to identify and find solutions for departmental problems. After the municipality became involved in the LGMP the police team agreed that goals and objectives might contribute to more effective management. After two workshops on goal and objective setting the team members decided to adopt a technique whereby the team worked together to develop goals and objectives for the department. Departmental objectives were then assigned to appropriate team members who had the authority and responsibility for carrying them out. Team members set objectives for their own functional areas of responsibility and these were discussed and approved by the team. Eventually, police managers at lower levels set objectives for their functional areas but no goals were established except for those at the departmental level.
- 2 A fire department developed a management improvement team as an advisory body to the chief. This management team consisted of the deputy chief, some area platoon chiefs, some platoon chiefs and some senior captains. This group examined management problem areas within the department and set objectives to overcome those problems. Their work and suggestions provided the chief with a number of objectives for the department as a whole. Eventually, the chief and the management improvement team became a problem identifying and problem solving group for the department.
- 3 The staff of another fire department felt that some fundamental changes in the department's operation were required before goals and objectives could be very meaningful. These changes meant considerable expenditure by the Municipal Council and the department lacked the data to convince council that the

changes were really necessary. Thus the first objective was to obtain the required data. This included response times of various units in different areas, water pressures, routing problems, fire incidence, property loss data, descriptive data on major fires, etc. These data enabled the department to provide council with a realistic appraisal of a rather hazardous situation and resulted in the approval of funding for an increase in the professional fire fighting force and two additional fire stations.

- 4 The head of a small but efficient personnel department set goals and objectives for the department, with inputs from his two professional staff. He then asked each member of his staff, including secretaries, to set goals and objectives. The whole department met as a team one morning per week to identify problems and review objectives, generally on an exception basis (objectives which were ahead of schedule, behind schedule or which needed to be revised) with periodic reviews of all objectives.
- 5 An engineering commissioner was hired to take control of a large department which had been formed by integrating four smaller departments, all of which were concerned with the provision of physical services either to the public or to other departments. He wished to use goals and objectives as an integrative and directive tool in an attempt to achieve co-operation and co-ordination between the relatively diverse branches in his department. This meant that the departmental goals and objectives had to form an umbrella for the branches, and the department head played a major role in the initial identification of branch and divisional objectives (goals were not established at branch and divisional levels). Through this process, overlaps in responsibility could be eliminated and mutual support services could be better developed.

A problem identification, problem solving and objective review team (the unit head and those reporting directly to him) was established at each management level and these teams met monthly to review objectives and to identify problems. These monthly reviews surveyed objectives on an exception basis to save time and confusion and periodic reviews of all objectives were scheduled twice annually.

#### EXAMPLES FROM A CROSS-SECTION OF DEPARTMENTS

The following examples of goals and objectives for some additional departments will serve to indicate the



great variation in approaches, even within departments. To limit detail only short excerpts of departmental and divisional goals and objectives have been included.

### A Public Works (Engineering) Department

This department contrasts considerably with the one mentioned above (5) because integration was not a problem and the department head was able to allow a greater degree of variation in the approach of his division heads to goal and objective setting. His main concern was to ensure that responsibilities were clear and that problems were identified and problem solving objectives set and monitored. Both goals and objectives were established at each management level and a sample of departmental and divisional goals and objectives has been included.

Goals and objectives have also been included for managers at two levels below the division head in one division.

#### PUBLIC WORKS DEPARTMENT, COMPLETE SET OF GOALS — SEPT., 1976

- 1 To provide effective and efficient Public Works which meet community needs within the limits of available financial resources.
- 2 To co-ordinate, plan and develop Public Works programs and research consistent with Regional and local planning goals which will ensure the economic and social viability of the Region.
- 3 To improve co-operation, communication and co-ordination between Regional Departments and municipal departments.
- 4 To review Public Works Department functions, internal communication and structure in order to improve the effectiveness and efficiency of the Department.
- 5 To continually develop the human resources within the Department and to investigate and review technical advances.
- 6 To provide continual liaison with local, provincial and federal agencies to ensure co-ordination of Public Works programs and funding.
- 7 To develop public awareness of Public Works programs and provide a vehicle for meaningful, constructive public input.

- 8 To provide and improve a communication and information system for Public Works Committee and Council.

#### EXAMPLES OF OBJECTIVES — PUBLIC WORKS DEPARTMENT — SEPT. 7, 1976

- 1 To review, before the end of February, the previous year's expenditures to determine if the financial resources were effectively used.
- 2 To make a monthly review of current expenditures and report thereon to the Public Works and Utilities Committee.
- 3 To review all levels of service annually and to appraise the Public Works and Utilities Committee of levels provided.
- 4 To eliminate programs which are not achieving results and to replace these with more meaningful works.
- 5 To have a draft budget ready for presentation to Council by the 30th of November of each year.
- 6 To prepare a Capital Budget for the Region covering a five-year program and present it to Committee for approval by 30th of November of each year.
- 7 To prepare long-range proposals consistent with planning goals to maintain adequate public works or hard services for the Region.
- 8 To ensure that there is at least one meeting per year with each municipal department and more if necessary.
- 9 To arrange joint committees with other Regional departments.
- 10 To review communications procedures within our department every six months.
- 11 To meet with division heads at least four times a year to discuss department progress and individually with each division immediately thereafter.
- 12 To review annually joint committees established with provincial and federal agencies and to seek ways and means of improving these arrangements.



PUBLIC WORKS DEPARTMENT — ADMINISTRATION DIVISION  
Objective Statement Worksheet

Goal Area Statement	Objective Statement and Levels of Performance (Current and Projected)	Comments (Measuring Device, Comparable data, etc.)
To develop up-to-date policies and procedures for the Public Works Department that are consistent with Regional policies and meet the administrative needs of the Public Works staff.	1. To update all existing Public Works Dept. policies and procedures by March 1, 1977.	— has it been done? — do they meet user needs?
	2. To review Regional and departmental policies semi-annually to ensure that Public Works policies and procedures conform with them.	— any conflicts?
	3. To submit at least one revised policy and procedure monthly to Public Works senior staff.	— has it been done?
	4. To ensure that the cycle from revising a policy and procedure to gaining approval does not exceed three weeks.  — revising policy — comments from division heads — final approval	— how often does it take longer?
To provide a Central File and Library system that is responsive to the ongoing needs of the Public Works Department.	1. To review the present Central File system on or before August 15, 1976 with J.K. Rhodes, R. Barany, W. Gill and L. Atkinson.	1. Record number of files called from Central Files.
	2. To prepare a report to the Public Works senior staff on or before the first week of September 1976 outlining proposed areas of change and improvement to the Central File system.	2. Amount of time spent filing by clerical personnel.
	3. To identify the required equipment, human resources, training, if required, convert to dollars and determine if financial resources are available in the 1976 Budget.	3. Number of satellite file systems being used.
	4. Have completed by January 1, 1977, the conversion of the Central File system with procedure manuals prepared and distributed.	4. Review system operation with Division Heads on a quarterly basis to be assured the Central File system is meeting their needs.
	5. Investigate use of microfilming and prepare records retention policy for Central Files by January 1, 1977.	



PUBLIC WORKS DEPARTMENT — PROJECTS DIVISION  
GOALS — SEPTEMBER 18, 1976

- 1 To provide engineering, administration and construction services for Public Works projects to ensure conformance with accepted engineering standards, Regional policies and approved financial allocations.
- 2 To report on property matters, negotiate acquisition of easements and out-right purchases to accommodate Public Works facilities.
- 3 To provide meaningful planning input and liaison to all appropriate agencies toward the planning and development of Regional capital works.
- 4 To provide and undertake a periodic review of Projects Division organization that will facilitate the accomplishment of assigned tasks.
- 5 To investigate the availability and make optimum use of funds from other agencies.
- 6 To improve co-operation, communication and co-ordination between the Projects Division and municipal departments.
- 7 To continually develop the human resources within the Division.
- 8 To develop the priorities and scheduling of tender calls and preparatory work.
- 9 To develop and periodically review standards and operating policies for all Regional servicing.

PUBLIC WORKS DEPARTMENT PROJECTS DIVISION HEAD  
OBJECTIVES — SEPTEMBER 1976

- | Goal | Objectives  |
|------|---|
| 1    | <ul style="list-style-type: none"><li>(a) In-house engineering to be completed within the fiscal period and sufficiently ahead of construction deadlines. Performance to be measured on an individual basis comparable to output by a consulting firm in the private sector.</li><li>(b) Administration of all Division projects also to be monitored on an individual project basis and performance to be evaluated on how smoothly all facets of the development of the work are progressing.</li><li>(c) Actual construction to be monitored, again on an individual basis, and compared to:<ul style="list-style-type: none"><li>(i) allocations provided;</li><li>(ii) number of claims which have been dealt with and amount of costs;</li><li>(iii) comparison of the work to previous similar undertakings;</li><li>(iv) input requested from the relevant operating division as to the adequacy of the completed work.</li></ul></li></ul> |
| 2    | <ul style="list-style-type: none"><li>(a) Property acquisition would be monitored on ability to meet deadlines for construction purposes and on the success of the mutual property negotiations.</li></ul>  |

- (b) The adequacy of property records to be established by their availability for reference purposes with a minimum of staff time and also by their adequacy of detail in providing the particular information required.
- 3 Planning input to be provided by Projects Division on the basis of their experience in undertaking current construction projects, particularly with regard to committed capital costs and necessary carry-over into the subsequent fiscal period. Such planning input to be measured by ensuring that sufficient time is available to enable successful program development within capital budgets, particularly as they relate to the two to three year minimum future requirements.
- 4 (a) Review of division organization to be undertaken on an annual basis by monitoring the degree of success in achieving work out-put and also by comparing the costs of providing this service in relation to similar municipal agencies or to the private sector.
- 5 (a) Continuing review of legislation and trade papers and journals to identify whether other governmental authorities are proposing new programs which may offer additional funding. This to be a continuous surveillance with periodic checks with other similar municipal organizations as to their experience in this regard.
- (b) That existing funding programs be scrutinized to obtain maximum eligibility and ensuring that total utilization of funds is achieved.
- 6 The improvement of co-operation and co-ordination with other municipal departments to be achieved by:
- (a) securing a response from the municipal departments concerning imminent projects to allow sufficient lead time for follow-up by affected parties;
  - (b) distribution of construction drawings and specifications;
  - (c) invitations sent to municipal departments to attend preconstruction and site meetings of construction projects.
- Evaluation of performance in this area to be on the basis of reduction in complaints and general responses of the municipal departments to Division requirements for information in the future.
- 7 (a) Development of human resources to be undertaken by:
- (i) training programs which would be monitored by examination results and on-the-job application;
  - (ii) improvement in communications between staff and particularly in the form of problem identification and problem solving.
- (b) Annual review of performance of staff members and individual discussion with each to advise of both satisfactory performance and those areas requiring improvement.



- 8 (a) The development of priorities on a continuous basis with formal documentation on a by-monthly basis. The establishment of priorities for Projects Division work will be dependant on a large number of factors: the co-ordination of property acquisition, if required; the need to co-ordinate work with that of other agencies or to ensure co-ordination with other construction; the anticipation of the amount of lead time necessary to undertake engineering and also to secure the various approvals. All of these will establish priorities. The success of the priorities so established to be measured by the response of the user division, the Public Works and Utilities Committee, and the public.

(b) The scheduling of tender calls to be developed also on a continuous basis and taking into consideration the weather conditions which may affect construction work and costs, the volume of available work to contractors, the setting of particular tender openings to avoid conflict with similar works, and also the recognition that Regional tender calls should be distinct and separate to enable an optimum response from local contractors.

9 (a) Review and update standard construction detail and specifications on an annual basis to eliminate problems occasioned by increased costs and/or additional claims during construction.

(b) Operating policies should be reviewed on a by-annual basis and measured on whether such policies have provided the level of service and achieved the particular purpose for which such policies were developed.
- PUBLIC WORKS DEPARTMENT — PROJECTS DIVISION  
DESIGN AND CONSTRUCTION ENGINEER  
GOALS

  - 1 To direct engineering technologists and technicians, draftsmen and surveyors in the execution of engineering and construction projects.
  - 2 To liaise with Consulting Engineers in reviewing design, contract drawings and specifications.
  - 3 To secure necessary approvals for projects from the Ministry and other authorities involved.
  - 4 To prepare reports and data for submission to Committee and Council.
  - 5 To review designs, proposals and reports by other authorities affecting Regional facilities.
  - 6 To review and approve engineering and construction accounts.
  - 7 To establish the terms of reference of each project.
  - 8 To attend interim meetings with Consultants to review progress.
  - 9 To hire personnel, i.e. review of job applications and interviewing of candidates.
  - 10 To provide effective and efficient engineering, contract administration and project cost control.

PUBLIC WORKS DEPARTMENT — PROJECTS DIVISION  
 WATER DESIGN AND CONSTRUCTION ENGINEER  
 GOAL AND OBJECTIVE STATEMENTS

Goal Area Statement	Objective Statement	Comments (Measuring Device, Comparable Data, etc.)
1 To co-ordinate the preparation of Regional 5-year Capital Budget for a water supply program that will make optimum utilization of available financial resources in providing the required services in conformity with the established Regional Policies and Goals.	(a) To secure inputs by mid-October of each year from other Departments and Divisions within the Region and other Governmental agencies.  (b) To complete by mid-October of each year: <div style="margin-left: 20px;">             (i) review of current fiscal year expenditures;              (ii) Estimates of projected expenditures to the end of the fiscal year;              (iii) Estimates of carry-overs.           </div> (c) To complete first draft by mid-November for submission to Projects Engineer for his review, consolidation, discussion with the Director and the Operating Division and final submission to Public Works and Utilities Committee.	(a) To complete project assignments to staff or Consultants by mid-fiscal year.  (b) To ensure our estimates are within $\pm 20\%$ of the low tender.  (c) To have at least two projects completed to tender call stage.  (d) To continually monitor the expenditures vs. budget allocation.  (i) within $\pm 10\%$ of actual costs  (i) Engineering must start after mid fiscal year for all projects.  (i) First review in September (ii) Second review in November
2 To schedule the construction of Water Supply Projects to fully utilize the approved financial allocations within the fiscal year.		



PUBLIC WORKS DEPARTMENT —  
PROJECTS DIVISION — PROPERTY SUPERVISOR  
OBJECTIVE STATEMENT WORKSHEET

Goal Area Statement	Objective Statement and Levels of Performance (Current and Projected)	Comments (Measuring Device Comparable data, etc.)
1 To schedule and assure the purchase of property by staff required for Regional projects.	(a) To achieve and maintain by 1978 a one-year lead time on all budgeted projects involving the Properties Section  (b) To keep a bi-monthly progress sheet on all Regional projects involving the Properties Section  (c) Minimize the use of expropriation while maintaining compensation at fair market value  (d) To maintain an informative direction to the Solicitor's Department and to follow up on the finalizing of agreements	(i) status of work to date (ii) status remaining to be completed (iii) estimated date for their completion  (i) 1975 - 311 properties involved - 8% expropriated (ii) 1976 - 200 properties est. - 6% expropriated (est.)  (1) inform Solicitor on what has taken place (ii) what has to be done (iii) who to contact, e.g. Vendor's Solicitor (iv) what account to charge expense to (v) meet with Solicitor once a month to discuss progress re finalizing

### A Homes For The Aged Department

The Director of a Regional Homes for the Aged Department found goal and objective setting very useful:

- 1 to aid in delegating a greater degree of authority to his home supervisors and to help him to structure their involvement in decision making;
- 2 to aid in setting up programs with defined alternatives and built in evaluation and cost/benefit control criteria; and
- 3 to clarify the roles of different staff specialists with potentially overlapping responsibilities.

The following examples include excerpts from departmental goals and objectives, home supervisor goals and objectives, and 'day care' program goals and objectives.

#### DIRECTOR OF HOMES FOR THE AGED

##### GOALS

##### Goal No. 1:

To co-ordinate programs and services that assure the social, psychological and medical needs of our residents and non-resident participants are met.

#### Objectives:

- 1 To evaluate and prepare a guide to camping and vacations programs and a video tape for recreational use by October 30, 1976.
- 2 To review and evaluate every four months, the Regional Recreation programs provided in our Regional Homes.
- 3 To develop a Recreation Manual with the first draft to be completed by January 1, 1977 and to be reviewed by appropriate staff.
- 4 To establish a Committee to review and determine the psychological needs of our residents and report by November 1, 1976.
- 5 To establish Audiological Clinics in all of our Homes by October 1, 1976.
- 6 To establish a Committee study and evaluate the effectiveness of our Dental Program in all Homes and Foster Home Care and future direction of the program and report by January 1, 1977.
- 7 To establish a Committee with senior staff and the Nurses Association to determine and clarify the role of the Registered Nurse, R.N.A. and Attendant in our Homes.



#### *Goal No. 4:*

To identify and set priorities with senior and supervisory staff in determining long term planning, as well as needed studies and research.

#### *Objectives:*

- 1 To undertake and complete a study of Senior Citizens Clubs and Centres in Regional Niagara in conjunction with the Province, to be completed September 30, 1976.
- 2 To request the Health Council to update the Long Term Care Study to establish a statistical data bank re: available accommodation, as well as for determining future needs by August 1, 1976.
- 3 To undertake a study and evaluation of our Day Care and Talk-A-Bit Program with information gathered from senior citizens and families by January 1, 1977.

#### HOMES FOR THE AGED — NORTHLAND MANOR — HOME GOALS AND OBJECTIVES

##### *Goal No. 1*

To provide the highest level of Resident care possible and to continually re-assess their changing and individual, social, psychological and medical needs.

#### *Objectives:*

- 1 To create and maintain a healthy cheerful and positive atmosphere in the Home which encompasses a sense of acceptance and social belonging, designed to motivate, stimulate and sustain the individuals under our care.
- 2 To provide a safe environment within the "Home" by having a safety committee meet once monthly to report and discuss any problems and recommend changes.
- 3 To provide good Medical and Nursing care for Residents by investigating and researching the physical and social needs of each Resident through the use of Care plans — which must be updated monthly by the Nursing Department.
- 4 To provide maximum restoration of physical, mental, social and spiritual functioning through the use of multi-discipline and team approach (i.e.) use of services of physiotherapists (Home Care), speech therapists, psychiatrist, Home physician, clergy, dietitian, etc. on a continuing basis, evaluating progress and/or change as needed.

- 5 To provide a sound Recreational and Crafts program geared to the needs of both the individual and the group — reviewing the program every 3 months and projecting block programming for next 3 months encompassing both "Home" Programs and Regional ones.
- 6 To see that good wholesome nutritional meals geared to the individual needs and likes are provided, with continuing dialogue between Dietary staff and Residents and/or Nursing staff.
- 7 To see that definite Goals and Objectives are set up for Housekeeping, Laundry after 1976.

#### HOMES FOR THE AGED — DAY CARE PROGRAM — GOALS:

- 1 To make available an alternative to institutionalized care by providing preventative and supportive services to meet and maintain the individual needs of the senior citizens in the community for as long as physically and mentally possible.
- 2 To restore self-esteem, where required, to the individuals in the Program.
- 3 To inform the community of what we are trying to accomplish with the Day Care Program.
- 4 To make senior citizens aware of and make available to them information regarding all transportation facilities.
- 5 To encourage the maximum degree of independent functioning in connection with community interests and activities.
- 6 To liaise and co-operate with other departments in the Homes.
- 7 To establish a self-sufficient Day Care Program within the community.
- 8 To constantly review the Day Care Program in order to ensure it meets the current needs of the daily participants.
- 9 To arrange a diversified enough program that would meet the medical, nursing, recreational and social needs of the participants.
- 10 To promote an environment conducive to job satisfaction.
- 11 To provide sound administrative and financial practices outlined in the Day Care Manual with the senior administrative staff, program co-ordinator, accounting department and participants in the Program.



HOMES FOR THE AGED DEPARTMENT  
DAY CARE PROGRAM DIVISION  
OBJECTIVE STATEMENT WORKSHEET

Goal Area Statement	Objective Statement and Levels of Performance (Current and Projected)	Comments (Measuring device Comparable data, etc.)
To constantly review the Day Care Program in order to ensure that it meets the current needs of the participants.	(1) Ask residents for input concerning the program of activities. — meet with residents every two weeks to gather opinions, criticisms, likes and dislikes.	How many participate?  How Often?  How Long?
	(2) Schedule active and passive activities on an alternate basis to involve all residents. — bowling followed by lunch — wake-up workshop followed by crafts	
	(1) Complete resident assessment sheets every 15 days. — investigate changes in residents immediately	How many who did not respond to verbal inquiries answer the letter?
	(2) Letters to those who have not pursued the issue beyond completing the application. — find out why they stopped completion of the application.	Do any come into the program?  Is undesirable behaviour or reaction dispelled?

A Regional Social Services Department

The main problem faced by the director of a Regional Social Services Department was the integration of a number of distinct county social service functions into a viable operation. Note how the goals of the department stress integration, planning, training and co-ordination.

SOCIAL SERVICES DEPARTMENT

GOALS:

1 Development of an omnibus program which would bring together: income maintenance, support and supplementation programs, in an integrated structure.

- 2 Development of a Social and Community Planning Program for the Region to ensure:
- a Effective utilization of human and financial resources.
- b The provision of a complete public information and referral service.
- c The provision of consultative services to assist groups and/or organizations.
- 3 Development of ongoing programs of training and upgrading for all staff to ensure efficient and complete delivery of all programs.
- 4 To co-ordinate financial and administrative support to all divisions and units in budgeting, accounting and administrative services.



SOCIAL SERVICES DEPARTMENT  
COMMUNITY SERVICES DIVISION  
OBJECTIVE STATEMENT WORKSHEET

Goal Area Statement	Objective Statement and Levels of Performance (Current and Projected)	Comments (Measuring device Comparable data, etc.)
Goal Area <i>One</i> To ensure adequate child care services	<p>To work and co-operate with Architects and contractors to complete Fort Erie Day Care Centre by May 16/76</p> <ol style="list-style-type: none"> <li>1. Prepare equipment lists for tender by March 15/76</li> <li>2. Interview and hire staff for above location August 2/76</li> <li>3. Prepare and submit to Province of Ontario all necessary documents so that D.C.C. will be licensed by Aug. 1/76</li> <li>4. Advertise and enroll children for admittance to the D.C.C. Aug. 16, 1976</li> <li>5. By June/76, meet with Fort Erie Association for the mentally retarded to encourage a smooth transfer of children from the program operated by the mentally retarded association into the new Fort Erie D.C.C.</li> </ol>	Completed
Goal Area <i>Two</i>	<ol style="list-style-type: none"> <li>1. Review visiting Nurses and Homemakers Act with caseworker by Feb. 29/76</li> <li>2. Draw up new policy manual re: departmental policy in providing subsidy for Homemakers and Nurses Services by April 30/76</li> </ol>	Total comprehension of Act and mutual agreement between caseworker and myself

### A Regional Planning Department

One of the primary functions of Regional Government is the encouragement of co-ordinated planning across the Region. Local authorities hold jealously to their prerogatives, often protecting narrow interests or looking at short term versus long term pay-offs. Thus the Regional planning role is largely one of reinforcing co-operation and co-ordination and the department must work with other Regions, with local area municipalities, with the Province and with special purpose commissions and agencies. The following transportation objectives illustrate the complexity of this task.

### PLANNING AND DEVELOPMENT DEPARTMENT — PLANNING SECTION — GOALS AND OBJECTIVES RELATED TO TRANSPORTATION

#### Goal

- 1 To develop and evaluate priorities, in conjunction with Public Works, for improvements to the Regional Transportation System.

#### Objectives — Short Term

- S1 To provide input in the Niagara Falls Transportation Study beginning in 1976.
- S2 To assess the implications on the transportation system of development proposals.
- S3 To review and comment to Public Works on proposed road closings on the basis of the "Road Closing



Policies” adopted by Regional Council (DPD 564).  
*Note:* Development Section does this.

#### *Objectives – Long Term*

- L1 To propose and evaluate changes or improvements in the Regional transportation system based on land use, environmental, social and economic conditions.
- L2 To review and, if required revise, at least once every five years, the transportation section of the Regional Policy Plan.
- L3 To assess the effect of existing and proposed planning regulations upon the transportation system.

#### *Goal*

- 2 To participate in the development and/or evaluation of the land use, environmental, social and economic implications of transportation proposals by other agencies upon the Niagara Region.

#### *Objectives – Short Term*

- S1 To review and comment on the implications for the Niagara Region of the Niagara-Lake Erie Transportation Study (NLETS) when released.
- S2 To review the Ministry of Transportation and Communications’ proposal for Highway 406 in the Welland-Port Colborne area.
- S3 To develop information for and comment upon findings of the Hamilton Airport Study Committee as to the implications for the Niagara Region.

#### *Objectives – Long Term*

- L1 To provide input in the Railway Relocation Study in Niagara Falls.
- L2 To comment on transportation proposals by the Provincial and Federal Governments affecting the Niagara Region.

### **A Municipal Business Development Department**

The goals and objectives of a Municipal Business Development Department are by necessity corporate goals and objectives requiring input from most administrative departments, and detailed consideration and input by council prior to council’s approval. Many municipalities have either poorly developed goals and objectives or none at all in this area. These and other goals and objectives were one of the major topics of discussion at a joint council/administrative workshop in this municipality.

BUSINESS DEVELOPMENT DEPARTMENT – MARCH, 1977

#### *Role*

To advise Council, City Officials, and the Business Community on matters related to the manufacturing, commercial and tourism sectors of industry; to be responsible for public relations and general information; to develop and implement programmes designed to realize the full potential in these areas, in keeping with the goals established for the City.

#### *Goals*

- 1 To identify and pursue opportunities in the Manufacturing sector so as to strengthen the economic

base of the City and area within the framework of the goals established by Council.

- 2 To identify and pursue opportunities in the Commercial sector so as to strengthen the economic base of the City and area, within the framework of the goals established by Council.
- 3 To identify and pursue opportunities in the Tourism sector so as to strengthen the economic base of the City and area, within the framework of the goals established by Council.
- 4 To establish and maintain effective liaison with other departments of the Corporation, local businesses, other municipalities, other levels of government and trade associations, relative to economic development.
- 5 To plan for and implement responsible public relations and promotions programs designed to present the City in the best image possible.
- 6 To undertake the management and administration of the Business Development Department in the most responsible, efficient and effective manner possible.

*Note:* The statement ‘to strengthen the economic base of the City and area’ should be interpreted to mean, but not be limited to, insuring adequate employment opportunities for the citizens, broadening the tax base and providing the environment for the importation of capital and revenue to the City.

### **BUSINESS DEVELOPMENT DEPARTMENT – MANUFACTURING DEVELOPMENT GOALS AND OBJECTIVES**

#### *Goal No. 1*

To identify and pursue opportunities in the Manufacturing sector so as to strengthen the economic base of the City and area within the framework of the goals established by Council.

#### *Objectives*

- 1 To encourage expansion of local industry. The activities undertaken to accomplish this include assistance in resolution of problems, examination of new technology and services of possible benefit to local industries and a search for additional marketing opportunities. This implies close contact with local industrialists.

#### *Measurement Criteria*

- No. of plant visits and contacts in current year
- No. of local inquiries for assistance received and responded to in current year
- No. of plant expansions in current year
- No. of additional jobs created

- 2 To identify and contact prospective industries, in order to point out the economic and environmental advantages of a location in St. Catharines. The activities undertaken to accomplish this include the solicitation of companies through personal contact in centres outside the area, effective advertising and promotional programs, consultation and liaison with those groups or agencies knowledgeable in



matters of economic growth and expansion plus any other sources of information available.

#### Measurement Criteria

- No. of industrial contacts made in current year
- No. of new industries established in St. Catharines in current year
- Amount of assessment generated by new industries
- No. of new jobs created

- 3 To create interest in St. Catharines, to prepare and distribute, up-to-date and relevant information on St. Catharines in an attractive format, designed to create interest in prospective companies and investors. This entails the development of 'The Insight Series on St. Catharines,' plus information on the 'Port Weller Industrial Park', and detailed information on a wide range of topics of interest to prospective companies.

#### Measurement Criteria

- No. of publications developed
- No. of copies of 'Insight Series' printed and distributed vs. interest generated (i.e. objectives 1 and 2)
- Comments received on scope and content of material (awards or plaudits received)

- 4 To have available, sites suitable for industrial location in sufficient variety and quantity to suit particular industrial requirements. This entails the development of the Port Weller Industrial Park, planning for future development in the Louth Area, recording up-to-date information on available sites and buildings on the private market.

#### Measurement Criteria

- No. of sites listed in current year
- No. of sites occupied in current year
- Average size and price/acre

### A City Clerk's Department

Frequently a newly hired or promoted department head will see a need to reorganize his department and possibly to redefine its purpose and function. The reorganization and functional changes will often require training and development of staff plus new procedures for more effective operation and communication under the new structure. The goals and objectives which follow reflect these needs.

#### CITY CLERK

##### *Goal Number One*

To maintain an effective, efficient organization that will meet the needs of the Corporation in terms of the areas of responsibility that fall to the City Clerk's Department in areas of operations and office administration.

##### *Objective Number One*

Complete the re-organization of the City Clerk's Department.

- a Create and fill the position of Senior Clerk by August 1, 1977.
- b Evaluate the new organizational structure during the month of December 1977.

##### *Goal Number Two*

To provide such auxiliary, regulatory and service functions as may be requested by City Council.

##### *Objective Number Two*

Review the functional responsibilities of the Department that are of a major consequence (exclude Secretariat Function), delineate and adjust where necessary.

- a switchboard, mail and document indexing by September 30th, 1977;
- b assessment related activities by November 30th, 1977;
- c vital statistics, business and lottery licences by March 31st, 1978.

##### *Goal Number Three*

To establish, implement and maintain a numerical filing system for those records and documents of the Corporation which are the statutory responsibility of the Clerk.

##### *Objective Number Three*

- a arrange basic meetings — September 1977;
- b final test — December 1977;
- c establish guidelines for procedures and explain procedural changes to office staff — mid December 1977;
- d institute new system — January 1, 1978;
- e evaluate and modify as required — March 1978.

##### *Goal Number Four*

To conduct regular municipal elections in an accurate, efficient manner that is in accordance with all statutory requirements.

##### *Objective Number Four*

- a Analyse the election procedures followed in the 1976 election; evaluate their effectiveness and revise, as necessary (to bring them into line with the use of the Punch Card Ballot for the 1978 election) by February 1978.
- b complete the revision of polling subdivisions by January 31st, 1978.
- c complete procedure for 1978 election by April 1, 1978.

##### *Goal Number Five*

To provide maximum opportunity for staff development and to encourage same.

##### *Objective Number Five*

Train and develop the two Assistant Clerks to a level of technical and administrative competence equivalent to that of a second-in-command position by 1979.

### The Operations Division of a Parks and Recreation Department

A Municipal Parks Department which is broken down into operations and programs divisions is a primary example of an organization which requires high levels



of co-operation between divisions. The Parks Department as a whole also needs to have the support and co-operation of other municipal departments. The following selection of goals and objectives from an operations division illustrates those needs for co-operation and co-ordination. In some cases the objectives are not easily quantified but the fact that they have been identified indicates an awareness of the need for co-operation and co-ordination, which should result in some improvements in that area.

#### PARKS AND RECREATION DEPARTMENT — OPERATIONS DIVISION

##### *Goal Two*

To assist in the establishment and clarification of the policies of the Department.

##### *Objectives*

- 1 To prepare, or have prepared, a manual detailing the policies of Council and the Department by November 30th, 1976.
- 2 To assure that any policy changes are incorporated into the Policy Manual within one week and the superintendents so advised.
- 3 To review as required, with the senior staff of the Division, any policy changes for recommendation to the Department Head.
- 4 Recommend to the Director any changes in policies as required.

##### *Goal Three*

To liaise and co-operate with other Departments, other governments and public service agencies on parks, cemeteries and golf courses.

##### *Objectives*

- 1 To set up a directory of employee contacts in other Civic departments, regional offices, provincial and federal governments who deal with this Division by December 31st, 1976.
- 2 To meet with organizations interested in bettering the municipality by the contribution of labour or monies to develop or redevelop the system. These organizations include the Garden City Horticultural Society, Service Clubs, Real Estate Boards, and others.
- 3 To serve the organizations affiliated with the division by attendance at conferences, seminars and meetings and by contributing any expertise that may benefit others.

##### *Goal Four*

To establish and maintain a basis of co-operation between the Programmes Division and the Operations Division.

##### *Objectives*

- 1 To meet with the Programmes Manager as required.
- 2 To assure the co-operation of Division staff in accommodating the requirements of the other Division, subject to the availability of staff and equipment.

- 3 To assure that information available to the Operations Division affecting the Programmes Division is properly dispersed when known.
- 4 To assure that necessary data is available prior to annual printing of the Spring and Winter Brochures.

#### **A Supplies and Services Department**

The goals and objectives of a support department depend upon the needs of user departments and can only be established through ongoing communication with the users. Personnel and Finance departments sometimes experience a considerable amount of confusion as to whether to adopt a control role or a support role for personnel and financial resources respectively. This sample of goals and objectives from a Supplies and Services Department illustrates a well defined support department focus.

#### SUPPLIES AND SERVICES DEPARTMENT — APRIL, 1975

##### *Role*

To provide and maintain a complete Central Purchasing system, building and equipment maintenance and property management for the City Corporation. To undertake studies leading to information and recommendations as required by the City Administrator. To participate in City management decisions as a member of the City management team.

##### *Goals*

- 1 To respond to the supplies and services needs of all departments in supplying material, as specified, within the time required, at the least cost.
- 2 To maintain and repair all electrical and mechanical equipment, buildings and parks facilities to the highest standards compatible with sound cost outlay.
- 3 To maintain and modify, as required, a system responsive and supportive to projects as they arise in any department.
- 4 To establish and maintain procedures necessary to maximize cost/benefit ratios in transactions leading to purchase, sale or leasing of real estate on behalf of the City.
- 5 To disseminate pertinent information to the management team with a view to obtaining the best and most timely decisions on matters before the team.
- 6 To assist other department heads as much as possible by constant communication of useful information.
- 7 To maintain an organization capable of achieving the above goals; to provide in-job training and training courses in order to attain the necessary skills.

##### *Objectives For Goals 1*

- 1 Obtain from Department Heads a statement of the next year's equipment and materials requirements in time to provide cost estimates for budgeting purposes by December 15th.
- 2 Ensure that schedules are prepared for preparation of specifications (15 days) and calling of tenders in time to meet user's delivery requirements.



- 3 Ensure that a list of all available supplies (and record of performance) and equipment is maintained and reviewed continuously.
- 4 Ensure that close consultation with users is maintained prior to and during preparation of specifications to obtain goods which meet requirements.
- 5 To co-operate in the promotion of bulk commodity purchases on a regional basis in order to reduce commodity costs by 5% due to increased volume of purchases.

#### A Regional Finance Department

The head of a Regional Finance Department who had been using goals and objectives for two years began to work toward 'program' goals and objectives in order to more clearly delineate the purpose of the various ac-

tivities of his department. One of the goals involved working with other departments to initiate program budgeting across all regional departments so that priority determination would be easier at the council level. The need for co-operation, co-ordination and mutual support and advisory with other Regional departments and with area municipalities is evident in the goals and objectives.

Although the data processing goals and objectives illustrated, preceded the departmental goals and objectives by one year, they are such a good example of data processing support objectives which might be established during the initial stages of a goal and objective setting initiative, that they were included to illustrate that point.

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#### FINANCE DEPARTMENT — SOME EXAMPLES OF PROGRAM GOALS AND OBJECTIVES

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General Responsibilities	Specific Programs	Program Goal	Program Objectives for 1977 over and above the regular duties required in each program
Financial Stewardship	Preparation of Financial Statements — Monthly - Annually — Subsidy Claims, etc.	To develop and maintain a financial information system for operating departments, senior management and Council which will also accommodate the preparation of subsidy claims and financial reports on a timely basis.	<ul style="list-style-type: none"> <li>i to hold bi-monthly meetings with senior people in operating departments to improve inter-departmental communications and information flow.</li> <li>ii Finalize accounting system for water and sewage.</li> <li>iii To develop in-house back up staff for Chief Accountants' position.</li> <li>iv To work with departments to develop operating reports with similar formats.</li> </ul>
	Processing of Payroll	To process all Regional Payrolls in accordance with contractual obligations.	<ul style="list-style-type: none"> <li>i Monitor new payroll system to ensure effective operation.</li> <li>ii Develop manpower reports from new system.</li> </ul>
	Processing of Accounts Payable	To process all accounts for payment in a manner which will ensure the accuracy, proper authorization and accounting for such payments, after verification of the receipt of the goods and services ordered.	<ul style="list-style-type: none"> <li>i Development of a commitment system for P.O.'s in conjunction with development of a Financial Core System.</li> <li>ii Identify processing time of invoices and improve where appropriate.</li> </ul>



General Responsibilities	Specific Programs	Program Goal	Program Objectives for 1977 over and above the regular duties required in each program
	Cash Management	To ensure the investment of all surplus funds and the obtaining of required temporary borrowing at the most effective rates subject to any legal restrictions.	<div><div>i</div><div>Development of written procedures to cover all borrowing and investing of funds.</div><div>ii</div><div>Introduction of a performance measurement based on 'Standard Cost' principles.</div><div>iii</div><div>Introduce new borrowing by-laws.</div></div>
Budgets	Preparation of Capital Current Budget	To develop a system of capital and current budgeting which will reflect in an understandable way the allocation of financial resources to Regional programs based on established policy and priorities and which will indicate the sources of funds required to support the approval expenditures.	<div><div>i</div><div>Identify 'programs' in all operating departments and recast 1977 approved budget on Program lines.</div><div>ii</div><div>Develop budget presentation format for current and Capital budgets for use in 1978.</div></div>
	Preparation of Capital Budget Performance Reports	To develop and maintain a reporting system for Capital Works Projects which, on a timely basis, will give data on project progress, cash flow, subsidies carried, expenditures and commitments and ensure adequate project financing.	<div><div>i</div><div>Introduce a system for accounting for capital projects which will facilitate financial control and reporting.</div></div>
	Current Budget Performance Reports	To develop current budget performance reports which will monitor budget performance, highlight budget variances and identify surplus funds for reallocation where required as determined by Council.	<div><div>i</div><div>Develop a policy for governing the method of changing budget appropriations that will increase budget administration flexibility while maintaining policy control at the elected level.</div></div>



General Responsibilities	Specific Programs	Program Goal	Program Objectives for 1977 over and above the regular duties required in each program
Management Services	Provision of Data Processing Facilities and Input staff	To provide required data processing capacity through the arrangement with the City of St. Catharines for the processing of financial data.	<div><div>i</div><div>Work with the City of St. Catharines in reviewing and assessing future equipment needs.</div><div>ii</div><div>Review Job descriptions of D.P. Manager and systems/analyst.</div></div>
	Analysis of Systems and Equipment Needs	To provide expertise within the Region in Systems Analysis, Programming and equipment needs.	<div><div>i</div><div>Analyse operation of Homes for the Aged to assess needs for introduction of E.D.P. applications and improved information flow.</div><div>ii</div><div>Develop programming for 'Financial Core' System.</div></div>
	Development of new Financial Management Systems	To provide expertise within the Region to research, develop and implement financial management techniques designed to improve the overall efficiency and effectiveness of the Region.	<div><div>i</div><div>To develop a new chart of accounts as a basis for a comprehensive 'Financial Core' system which will include the complete mechanization of the accounting system in 1978.</div><div>ii</div><div>Debt Registration Program.</div><div>iii</div><div>To review and develop a new system of equipment replacement financing.</div></div>
	Insurance	To review and manage all Regional insurance including the updating of asset valuations.	<div><div>i</div><div>Review Fidelity Insurance amounts.</div></div>

FINANCE DEPARTMENT — DATA PROCESSING —  
GOALS AND OBJECTIVES  
(One year prior to departmental objectives just illustrated)

Goals

- 1

To meet and consult more regularly with the user departments with the objective of better defining their management and financial information needs leading to the development and use of a more relevant and timely financial information system.

Objectives

- 1

By April 30, 1976 to have initiated regular bi-weekly meetings with E.D.P. co-ordinators in order to define on-going requirements and problem areas and to co-ordinate development efforts.
- 2

To identify E.D.P. user department requests for program changes and prepare a submission to the Data Processing Management Committee for consideration and establishment of overall priorities.



### *Objectives*

- 1 By December 31, 1975 to have initiated the use of an E.D.P. user request form in order that all requests for E.D.P. services are handled on a priority basis and that the E.D.P. user committee is kept informed of the use of E.D.P. staff resources. (Behind Schedule)
- 2 By April 30, 1976 to have reviewed with the Chief Accountant, the revisions to the accounts payable system that would allow for the identification and recording of provincial sales tax data.
- 3 By May 31, 1976 to have initiated the revisions to accounts payable associated with the reporting of provincial sales tax payments.
- 4 By July 1, 1976 to have initiated a new social services system in connection with the re-organization of administrative staff operations. The following schedule would apply:  
By December 15, 1975 – Training and Education (Completed)  
By April 30, 1976 – Programming  
By May 15, 1976 – Testing  
By May 30, 1976 – Parallel Testing  
By June 1, 1976 – Modifications and Live Processing
- 5 By August 31, 1976 to have reviewed and defined the requirements of automating the residents' asset and trust accounting system as the result of a recent directive from the Ministry.
- 3 To participate fully in a computer feasibility study to assist the user departments to define and meet their management information system needs through an effectively updated five year plan.

### *Objectives*

- 1 By December 20, 1976 to have established a work plan for the gathering and recording of all data necessary to update the Peat Marwick report.
- 4 To develop organizational administrative procedures to ensure a continuity of approach, strengthen internal control methods and complement staff training efforts.

### *Objectives*

- 1 By January 31, 1976 to have all present systems and programming documentation standardized and up-to-date in order to provide proper internal controls. (Completed)

- 2 By January 1, 1976 to have reviewed and established a proper cost and time usage reporting system in conjunction with the use of E.D.P. facilities, in order to provide accurate and up-to-date cost figures to the E.D.P. user committee and for subsidy purposes. (Completed)
- 3 By February 1, 1976 to have reviewed and established the Region's procedures and requirements for systems backup and the re-construction of data files in the event of loss or destruction. (Completed)
- 5 To review the payroll system to satisfy the need for an improved E.D.P. approach that will eliminate the present onerous manual tasks and the many exceptions to the present basic system.

### *Objectives*

- 1 By April 30, 1976 to have reviewed with the Chief Accountant and Payroll Supervisor the requirements of an improved payroll system that would allow for the reporting and payroll distribution as necessary.
- 2 By June 1, 1976 to have installed all necessary revisions to the payroll system, that would allow for proper recording and analysis, currently being processed manually.
- 3 By March 31, 1976 to have revised the payroll system to allow for detailed reporting of all earnings categories that are currently causing problems in the Police Administration Section.
- 6 To develop a relevant account coding structure to allow input data to be pertinent to the needs of user department management and to outside reporting agencies.

### *Objectives*

- 1 To co-ordinate the hardware and software considerations of a new account coding structure with respect to input and output requirements by September 1976.
- 7 To review the allocation and use of staff resources within the department with the objective of improving work orientation, employee morale, workload distribution and to better identify staff interrelationships and work progress efforts.

### *Objectives*

- 1 By May 1, 1976 to have documented and reviewed with staff, each employee's responsibilities, with a view to the re-assignment of workloads at their proper level of responsibility.



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## Appendix III

### A Profile of the Four Project Municipalities

#### THE REGIONAL MUNICIPALITY OF NIAGARA

The Regional Municipality of Niagara came into existence on the first of January, 1970 (the second region formed, Ottawa-Carleton being the first). Prior to this date, there were 26 municipalities and two county governments covering the Niagara Peninsula. There now exists one regional municipality and 12 area municipalities covering the same area. Total population within the Region is approximately 347,000.

The Regional Municipality of Niagara is bordered by Lake Erie to the south, Lake Ontario to the north, the Regional Municipality of Hamilton-Wentworth on the west and the United States border on the east. It is the prime tender fruit growing area in the country due to the moderating influence on the temperature by the Great Lakes and the Niagara Escarpment.

Major cities and towns comprising the Regional Municipality are St. Catharines, Niagara Falls, Welland, Fort Erie, Niagara-on-the-Lake, Port Colborne, Lincoln, Grimsby, and Thorold.

The Regional Council consists of 29 members including the Chairman (appointed by council), the mayor of each area municipality, five members decreed at large in the City of St. Catharines, three members from the City of Niagara Falls, two members from the City of Welland, and one member from each of the Towns of Lincoln, Fort Erie, Grimsby, Niagara-on-the-Lake, and one member from each of the Cities of Thorold and Port Colborne.

The council is then divided into four standing committees. These are the Planning Committee, the Finance Committee, the Social Services Committee and the Public Works and Utilities Committee. The administrative departments reporting to these committees are as follows: The Planning Department reporting to the Planning Committee; the Finance, Clerk's, Legal and Personnel Departments report to the Finance Committee; the Social Services, and Homes for the Aged Departments report to the Social Services Committee; and the Public Works Department to the Public Works and Utilities Committee.

In addition, Regional Niagara is responsible for the Regional Policing and the Regional Niagara Health Unit. These services are provided on a regional basis and form part of the regional budget expenditure. They are, however, administered by a special purpose body consisting of elected and appointed representatives.

#### THE CITY OF ST. CATHARINES

##### Early History

The name St. Catharines was first used as early as 1796, when there were probably fifty settlers in the locality. The Town of St. Catharines was incorporated in 1845, and the first mayor elected in 1850. St. Catharines was incorporated as a city in 1876, and a major amalgamation of St. Catharines, Grantham, Merriton, and Port Dalhousie took place in 1961, forming the present city boundaries. In 1970, the City became part of the newly formed Regional Municipality of Niagara.

St. Catharines is located in the southeastern portion of the Province of Ontario, in the midst of the Niagara Peninsula fruit belt, on the shores of Lake Ontario, approximately 35 miles immediately south of Toronto and 12 miles from the United States border at Niagara Falls.

The City is one of twelve municipalities comprising the six year old Regional Municipality of Niagara. The area of the Regional Municipality of Niagara comprises 729.7 square miles and of this total, St. Catharines covers an area of 38.6 square miles. In terms of population, St. Catharines has 120,000 people to the Regional Municipality of Niagara's 347,000. Thus St. Catharines has a little more than one-third the total population of the region.

Politically the City uses a council/chief administrative officer system of government. The Mayor is elected by ward with each ward being represented by two council members. The Mayor and the council are elected for a two year period. Council is then divided into two committees, General and Executive. Every member of council sits on the General Committee, while the Executive Committee consists of four council members. This committee deals primarily with administrative matters. Some of the commissions and boards reporting to and under the jurisdiction of council are: Public Library Board; Public Utilities Commission; St. Catharines Museum Board; Museum Advisory Board; and St. Catharines Transit Committee.

The City is also represented on Regional council. Out of a total of 29 members who sit on Regional council, six are from St. Catharines, there being five aldermen elected at large and the Mayor.

Administratively the City is structured into ten departments. They are: Finance; Fire; Clerk's; Business Development; Planning; Parks and Recreation; Supplies and Services; Engineering; Personnel; and the City Sol-



icator. These departments report to the Chief Administrative Officer, who in turn is responsible to the council.

## THE CITY OF LONDON

### The Early History of London

In 1793, Lieutenant Governor John Graves Simcoe selected the forks of the Thames as his choice for the future site of the capital of the Province. However, by the time the City was founded in 1826, the provincial capital was well established in Toronto. Nevertheless, there was a need to establish an administrative seat for the east London District, as by 1825, the district town at Victoria in Norfolk County was too far away from the settlements that were spreading north from Lake Erie. When the court house at Victoria burned down, a committee under Colonel Maklon Burnwell chose the crown reserve of land that Simcoe had set aside at the fork at the Thames as a place to establish the administrative seat. This decision was confirmed in a provincial statute that came into force on January 30, 1816.

After a temporary court house was erected for the administration of the London District, work soon began on what is now called 'the Old Court House' on a site chosen by a committee of magistrates headed by Colonel Thomas Talbot, the chief colonizer of the western peninsula. Not long afterwards officials of the London District as well as merchants and hostelkeepers began to move to the new settlement. By 1834, London had the population of 1,000 required to give it a separate parliamentary riding.

The rebellion of 1837, was a great stimulant to the development of London because the British government decided to establish a garrison in the peninsula. The advent of military spending, as well as the increased population, both military and civilian, gave the impetus for London to become an incorporated town in 1840. The town elected its first president and municipal services began to appear at this time. With continued population growth London was reincorporated in 1848, and given municipal powers.

The advent of the railway was another milestone in the development of London. The Great Western Railway was run through the middle of town, setting off an unprecedented wave of speculation and expansion. The event that crowned London's expansion was its incorporation as a City on January 1, 1855.

The period from the depression of 1857, to the start of the twentieth century saw London establish the pattern that exists today. Lines of new mansions began rising on Queen's and Grand Avenues. Financial institutions, hospitals, Huron College, and the University of Western Ontario were all founded in this period. Railway lines were extended and a telephone exchange was established. With this commercial expansion came the annexation of East, South and West London. All of these factors helped London consolidate its hold over the surrounding area, and guaranteed its position as one of the ten largest cities in Canada.

### Recent History

In 1961, London annexed outlying areas of the city and, as a result, increased its population by over one-half. In

preparation for this change, the council structure was altered to include 7 wards, each of which were to elect 2 aldermen, as well as a Board of Control and Mayor to be elected at large.

The size of the administration of the municipality had grown in direct proportion to the size of the City and the demand for services. A major change occurred in 1971, with the appointing of a Chief Administrative Officer. In 1974, an organization study was undertaken by Peat, Marwick and Partners that resulted in the 15 civic departments being consolidated under the office of the Chief Administrative Officer, the City Engineer, the City Clerk, the Finance Commissioner, and the new Commissioner of Community Services.

### Conclusion

London, with a population of 241,000, is the dominant force in Southwestern Ontario. The rapidly changing downtown core, the expanding suburbs, a growing business environment, as well as an administration and council that are responsive to the needs of all its citizens, augurs well for the future of this community.

## THE CITY OF OTTAWA

Originally called Bytown, the City of Ottawa is located 120 miles west of Montreal on the Ottawa River. Incorporated in 1855, Ottawa was selected by Queen Victoria in 1857, to be the seat of the government for the United Provinces of Upper and Lower Canada. In 1867, with the enactment of the BNA Act, Ottawa was proclaimed the capital for the Dominion of Canada.

The decision of Queen Victoria to make Ottawa the Capital City has been the outstanding factor in Ottawa's existence, in that its *raison d'être* is the business of providing accommodation and services for public servants of the Federal Government. In addition, the activities of the Federal Government have had a marked effect on the physical development of the city. Practically all of the government building complexes on the Ontario side of the Ottawa River are within the city limits, many are of recent construction and within the downtown core. The Federal Government also owns large tracts of land throughout the city, particularly parklands and scenic drives. All these holdings, representing 30% of the city's 48 square miles, come under the control of the National Capital Commission, which is responsible to the Federal Government.

The City of Ottawa has a population of approximately 300,000. It is part of the Regional Municipality of Ottawa-Carleton, which has a population of approximately 470,000. It is bounded by the Ottawa River on the north and the various municipalities of Ottawa-Carleton on the west, south and east. Two other municipalities of the Ottawa-Carleton Region are encompassed by the boundaries of the City of Ottawa. In land size the City of Ottawa is less than one-twentieth that of the Regional Municipality. Approximately 72% of the cost of the Regional Municipality of Ottawa-Carleton operation is borne by the tax-payers of the City of Ottawa.

The relationship of the City of Ottawa to the Regional Municipality of Ottawa-Carleton and the Federal Gov-



ernment has many advantages in the development of the city, but potential problems exist, however, as close co-operation and communication between the three are essential to a good working relationship. One example, is the road system, which is a network of streets, roads, parkways, etc. under three jurisdictions:

- 1 the Federal Road System, under the control of the NCC and policed by the RCMP;
- 2 the Regional Road System, under the control of the Regional Municipality and policed by the City of Ottawa Police Force within the boundaries of the city; and
- 3 the City Road System, which is under the control of the City of Ottawa and policed by the City of Ottawa Police Force.

#### **Political Structure of the City of Ottawa**

The City of Ottawa is governed by a city council comprised of:

- 1 Mayor;
- 2 Board of Control – four members elected at large; and
- 3 Aldermen – a total of 11, one member from each of the City's 11 wards.

All members of the City council serve on the Regional council and fill 16 of the 31 positions of that body. The Regional council has an Executive Committee which functions in the same manner as the Board of Control within the City council. The Executive Committee has eight positions plus the Chairman, who is also the Chairman of the Regional Municipality of Ottawa-Carleton. The City of Ottawa representation on this committee is the Mayor, Senior Controller and two members of the council who are appointed by City council. The other four positions are made up of the heads of the three larger municipalities and one appointee representing the rural areas.

#### **Administrative Structure**

Prior to 1973, fourteen different department heads reported directly to the Board of Control and City council. A restructuring program in 1973, grouped all activities of the City according to broad municipal functions. This resulted in seven major departments, the heads of which report to the Board of Control. Additionally two major committees of council were created:

- 1 the Committee of Community Development; and
- 2 the Committee of Physical Environment.

These two committees, with the advice of the representative commissioners, have the role of policy development for the two departments responsible for the delivery of almost all direct services to the people of Ottawa.

Subsequent to the restructuring in 1973, the City of Ottawa took over direct management of Lansdowne Park, which is the home of the Ottawa Rough Riders and the Central Canada Exhibition. At this time it is considered a separate department.

The City of Ottawa Police Force is not considered a City department as it is under the control of the Board of Police Commissioners. It is responsible to the City of Ottawa for all budgetary purposes, and all police vehicles, with the exception of motorcycles and scooters, are part of the City of Ottawa Vehicle Equipment Pool.

Three departments participated in the LGMP; The Physical Environment and the Community Development Departments, responsible for delivery of almost all services, and employing roughly two-thirds of the municipality's 3,000 + personnel, and the Finance Department, responsible for administering the city's operating and capital budgets.



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## Appendix IV

### Project Publications

Apart from the *Project Overview Statement*, the various Project publications have been grouped into four series.

#### PROJECT OVERVIEW STATEMENT

This paper describes the Project in overview fashion. It contains a statement of the goal and objectives of the Project, a description of the goal and objective setting process, and the documentation and evaluation processes to be used in the study. Price \$1.00.

#### SERIES A PUBLICATIONS: PROJECT DOCUMENTATION AND EVALUATION

The purpose of this series of papers is to describe the experiences of the four Project Municipalities, to analyse those experiences, and to indicate their possible relevance to other municipalities. This series will also include papers outlining the design of the evaluation process, as well as periodic reports on the evaluation of the Project.

- 1 *The LGMP Experience: Phase I.* This paper traces the Project from its inception in 1972 through various approval stages ending with the approval of the Project by each of the four participating municipalities. Price \$2.00.
- 2 *The LGMP Experience: Phase II.* This paper traces the Project through its early implementation stages, ending at the termination of the second full year of funding. Price \$3.00.
- 3 *The LGMP Experience: Phase III.* This final publication will include an overall perspective on the LGMP and an evaluation of the total experience. The analysis section, in this case, will be an analysis of the complete project and the paper will end with a section on the broad implications of similar major programs of organizational change for other local government organizations. Price \$4.00.
- 4 *The LGMP Experience: Guidelines for Organizational Change in Local Government.* As they identified requirements for management improvement, the Project Team attempted to meet training needs and developed working papers explaining the procedures they had used. In total, these working papers, which have been edited and included in one publication, provide a framework or guide for various aspects of organizational change in local government. Price \$4.50.

#### SERIES B PUBLICATIONS: TECHNICAL PAPERS

The purpose of this series of papers is to present reasonably concise descriptions of broad areas of municipal

management and administration as they relate to various aspects of the Project. These papers, which describe the state of practice and experimentation of the various areas, have been written for elected and appointed local government officials.

- 1 *Corporate Management: Its Role in Local Government.* This paper defines the process of corporate management in local government and includes a discussion of a method of approaching a more effective corporate operation. Price \$3.00.
- 2 *Improving Management Performance: The Role of Productivity and Performance Measurement.* An overview of the field of performance measurement including examples of output measures, fiscal measures, process measures, and methods of program evaluation. Annotated Bibliography. Price \$5.00.
- 3 *Management Improvement: A Manager's Guide to the Theory and Process of Individual and Organizational Change.* This paper describes frameworks for individual and organizational change which seem to be supported by the LGMP experience. Price \$3.00.
- 4 *Improving Management Performance: The Role of Management Information.* This paper discusses the relationship between information and effective management, with particular emphasis upon techniques that individual managers can use to improve their own use of information. Price \$3.00.

#### SERIES C PUBLICATIONS: CASE STUDIES

The purpose of this series is to describe various municipal experiences with programs related to the goal and objective setting process. The case studies are suitable for instructional purposes to focus discussion on the broad areas which the cases represent.

- 1 *Goals for Dallas 'A'.* The Dallas, Texas experience with broad goal setting, involving extensive public participation. The 'A' case reviews the program from its inception in 1965 to 1972. Price \$1.00.
- 2 *Goals for Dallas 'B'.* The Dallas, Texas experience with broad goal setting, involving extensive public participation. The 'B' case examines the program from 1972 to 1974. Price \$2.00.

#### SERIES D PUBLICATIONS: PERIODIC PAPERS

The purpose of these papers is to describe various aspects of the Project which are felt to be of interest to municipalities contemplating the introduction of a system of goals and objectives.

- 1 *Developments in the Management of Local Government — A Review and Annotated Bibliography.* This paper was prepared to provide local government managers and elected representatives with a description of current developments in the field of local government. The paper describes ten areas of development in the management of local government and supplies annotated bibliographies of books, articles and reports dealing with these areas. Price \$2.00.



This order form can be used to order publications of the Local Government Management Project. Orders can be made as the publications become available as indicated by the date of publication. Enclose payment with this order form. Make cheques payable to Treasurer of Ontario.

Orders should be forwarded to:

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Publication Title	Publication Date	Price
Project Overview Statement	Dec. 1974	\$1.00
Series A Publications: Documentation and Evaluation		
The LGMP Experience: Phase I: Assessing Readiness for Organizational Change in Local Government	Jan. 1977	\$2.00
The LGMP Experience: Phase II: The Implementation of Organizational Change in Local Government	May 1978	\$4.50
The LGMP Experience: Phase III: An Overview of an Experiment in Organizational Change in Local Government	May 1978	\$4.50
The LGMP Experience: Guidelines for Organizational Change in Local Government	Apr. 1977	\$4.50
Series B Publications: Technical Papers		
Corporate Management: Its Role in Local Government	May 1978	\$3.00
Improving Management Performance: The Contribution of Productivity and Performance Measurement	Nov. 1977	\$5.00
Management Improvement: A Manager's Guide to the Theory and Process of Individual and Organizational Change	May 1978	\$3.00
Improving Management Performance: The Role of Management Information	May 1978	\$3.00
Series C Publications: Case Studies		
Goals for Dallas 'A'	May 1975	\$2.00
Goals for Dallas 'B'	May 1975	\$2.00
Series D Publications: Periodic Papers		
Developments in the Management of Local Government — A Review and Annotated Bibliography	Dec. 1975	\$2.00

The following Publications should be sent to:



JS MacDonald, V. N.  
1721  
.05 The LGMP experience,  
.L63 phase II.  
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